LUCAS COUNTY

LUCAS COUNTY OHIO

REQUEST FOR PROPOSAL

INTEGRATED CASE MANAGEMENT SYSTEM (ICMS)

INTEGRATED JUSTICE SYSTEM	**14-017P**
COUNTY AGENCY	**PROPOSAL NUMBER**

DECEMBER 30, 2014 AT 2:00 PM (local time)

DATE AND TIME OF PROPOSAL OPENING

A MANDATORY PRE-PROPOSAL CONFERENCE WILL BE HELD NOVEMBER 18, 2014 AT 2:00 PM (local time) AT LUCAS COUNTY COMMON PLEAS COURT, 700 ADAMS STREET, TOLEDO, OH 43604. CONTACT CJ HOLLEY VIA EMAIL AT CJHolley@co.lucas.oh.us TO GIVE NOTICE OF INTENT TO ATTEND MANDATORY PRE-PROPOSAL CONFERENCE IN PERSON OR BY TELECONFERENCE (OBTAIN TELEPHONE NUMBER AND CODE FROM CJ HOLLEY) BY 2:00 PM (local time), NOVEMBER 12, 2014.

BIDDER MUST COMPLETE THE FOLLOWING:

NAME OF COMPANY OFFICIAL _____

OFFICIAL'S SIGNATURE _____

NAME OF COMPANY _____

ADDRESS _____

CITY, STATE & ZIP _____

TELEPHONE NUMBER _____

FAX NUMBER _____

E-MAIL ADDRESS _____

The Lucas County Board of Commissioners is seeking proposals for an **Integrated Case Management System (ICMS).**

Any proposer submitting a proposal must submit a completed proposal following the procedure outlined in this Request for Proposal (RFP) no later than **December 30, 2014 at 2:00 PM (local time).** All of the sections applicable in the Request for Proposal shall be read so as to give meaning to all such provisions. However, when there is a conflict in the interpretation between a specification in the Request for Proposal and sections, the specification in the Request for Proposal shall take precedence. **A MANDATORY PRE-PROPOSAL CONFERENCE WILL BE HELD NOVEMBER 18, 2014 AT 2:00 PM (local time) AT LUCAS COUNTY COMMON PLEAS COURT, 700 ADAMS STREET, TOLEDO, OH 43604. CONTACT CJ HOLLEY VIA EMAIL AT CJHolley@co.lucas.oh.us TO GIVE NOTICE OF INTENT TO ATTEND MANDATORY PRE-PROPOSAL CONFERENCE IN PERSON OR BY TELECONFERENCE (OBTAIN TELEPHONE NUMBER AND CODE FROM CJ HOLLEY) BY 2:00 PM (local time), NOVEMBER 12, 2014.**

1.0 Legal Framework

This Request for Proposal (RFP) is issued under the provisions of the Ohio Revised Code (ORC) Sections 307.86 to 307.92. All proposals submitted in response to this RFP shall comply with Ohio law. The laws of the State of Ohio will govern any disputes rising under this RFP and subsequent contract.

2.0 Proposal Opening

The proposal opening is scheduled for **December 30, 2014 at 2:00 PM (local time).** All sealed proposals received after this time and date, for any reason, will be rejected. The opening of the sealed proposals will take place at the Lucas County Commissioners Office, One Government Center, Suite 800, Conference Room A, Eighth Floor, Toledo, Ohio 43604-2247

3.0 Proposal's Bid Bond Requirement

A bid bond in the amount of **Ten Thousand Dollars and No Cents ($10,000.00)** must be included with each proposal or be disqualified. The bond is to be in the form of a surety bond, certified check, cashier's check, or money order from a solvent bank, or savings and loan association with the Lucas County Board of Commissioners identified as the obligee. Bonds will be returned to unsuccessful bidders within thirty days of contract award. Bonds will be returned to the successful proposer within 30 days of receipt of goods.

4.0 Pre-Proposal Conference

X	Applicable if box is checked

Detailed questions regarding this Request for Proposal can be addressed at the Mandatory Pre-Proposal Conference held **NOVEMBER**

18, 2014 AT 2:00 PM (local time) AT LUCAS COUNTY COMMON PLEAS COURT, 700 ADAMS STREET, TOLEDO, OH 43604. CONTACT CJ HOLLEY VIA EMAIL AT CJHolley@co.lucas.oh.us TO GIVE NOTICE OF INTENT TO ATTEND MANDATORY PRE-PROPOSAL CONFERENCE IN PERSON OR BY TELECONFERENCE (OBTAIN TELEPHONE NUMBER AND CODE FROM CJ HOLLEY) BY 2:00 PM (local time), NOVEMBER 12, 2014. Attendance is mandatory; failure to attend Pre-Proposal Conference will disqualify your proposal. There will be no written responses to questions unless research is required, in that instance, written responses will be mailed or sent via fax or e-mail to all bidders along with any and all amendments that are issued to those that attended the Pre-Proposal Conference.

5.0 Prevailing Wage

	Applicable if box is checked

Prevailing Wage does not pertain to this RFP.

6.0 Administrative Requirements

By submitting a proposal, the proposer will be held accountable to know the specifications and conditions under which this contract will be accomplished. This includes the contents of all proposal documents, regulations, and applicable laws.

Each proposal will be submitted in a clearly marked sealed container or envelope, with the project title, RFP #, date and time of proposal opening marked clearly on the outside of the package. If a selected proposer chooses not to submit a proposal, the proposal should be returned and marked "**No Proposal**" for the project title, RFP #, date and time of proposal opening on the envelope or package. **All proposals must be sent to:**

Lucas County Support Services, Purchasing Division
One Government Center, Suite 480
Toledo OH 43604-2247

The RFP opening will be held:

Lucas County Commissioners Office
One Government Center
Suite 800, Conference Room A
Toledo, OH 43604-2259

The entire set of completed RFP documents must be returned intact:

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). Attachments 1-7 are to be in Microsoft Word format. Failure to submit Attachments 1-7 in Word format

will result in rejection of your proposal. The rest of the Technical Proposal may be in PDF format.

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. Failure to submit Cost Proposals in Excel format will result in rejection of your proposal.

a. Any amendments applicable to this RFP must be included.
b. Completed Affidavits: (1) Delinquent Property Tax, (2) Non-Discrimination, (3) Non-collusion, (4) No Findings for Recovery, (5) Compliance Affidavit for Businesses, (6) Transparency Purchasing Policy Disclosure and (7) Sweatfree Affidavit; all signed by your legally authorized representative and notarized.
c. Bid Bond – Separated from (RFP) and Marked "Bid Bond", your Company's Name, Project Title and RFP Number. **The bid bond is mandatory**. A proposer will be disqualified if the bid bond is not submitted.

Faxed transmissions of RFP are unacceptable. Sealed proposals received through the mail after the specified date and time will also be returned.

Lucas County reserves the right to postpone the proposal opening for its convenience. Proposers are required to submit firm and fixed prices. When there are errors in multiplication or addition in a proposal, the unit price quoted will be used for calculating the correct total proposed. If the error is in the unit price, the proposal will be automatically disqualified.

All proposal pricing will be valid for 60 (sixty) calendar days from the RFP opening date to permit adequate evaluation of RFP responses.

Lucas County may make this award as a whole or on a partial basis, based on the individual proposal specifications.

The Board of County Commissioners does not obligate itself to purchase the full quantities indicated and the unit price proposed must be effective if purchase is less. Conversely, the Board's requirements may be in excess of the quantities shown and the successful proposer shall be required to furnish all requirements under the specification at the unit price proposed for an agreed period of time.

Lucas County does not assume any late payment penalties. No condition will alter this statement.

Ohio Revised Code sections 307.90 and 307.91 permits Lucas County to reject all proposals, waive technicalities, and to amend the original estimate and to advertise for new proposals on the required items, products or services. Lucas County reserves the right to reject any or all of the proposals on any basis without disclosure of a reason. The failure to make such a disclosure

will not result in the accrual of any right, claim or cause of action by any unsuccessful proposer against Lucas County.

Proposer may withdraw their proposals at any time prior to the RFP opening date. After the RFP opening, proposers may only withdraw their proposals as provided in Section 9.31 of the Ohio Revised Code. Withdrawal of a proposal after an RFP opening exposes a proposer to legal liability for sanctions, including costs for re-bid, or may result in a proposal being awarded to the next lowest proposer. Proposers failing to respond to all requirements specified in this RFP may result in the rejection of the proposal.

Questions regarding the specifications outlined in this RFP should be directed in writing to:

Lynn DiPierro	Email: ldipierr@co.lucas.oh.us
Support Services Manager	Voice: (419) 213-4509
One Government Center	Fax: (419) 213-4533
Suite 480	
Toledo OH 43604	

Proposers should carefully review all elements of their proposals. Once opened, proposals may not be altered. Each response in regard to this RFP shall be completed, self-contained and meet the requirements of the RFP. The County may initiate clarifications after the RFP opening. However, these clarifications will not constitute an alteration of the proposal submitted.

References to a particular trade name, manufacturer's catalog, or model number are made for descriptive purposes to guide the Proposer in interpreting the RFP requirements. They should not be construed as excluding proposals on other types of materials, equipment and supplies. However, the successful Proposer will be required to furnish the particular item referred to in the proposal specifications unless a departure or substitution is clearly noted and described in the proposal shown to be compatible with the specifications and accepted by the Board. Lucas County reserves the right to be the sole judge of suitability and fitness of the product proposed.

Any deviations from the specifications must be clearly detailed on the exception form. **(Section C)**

If any items being proposed have an expiration date, items delivered cannot be expired and must carry a good date for at least 6 (six) months after receipt.

There will be no incidental charges for services. If Lucas County has left any information out of these specifications where the Vendor would foresee additional charges/fees, proposer must include that information on the attached exception form.

All materials in the proposal will become the property of Lucas County and may be returned only at the County's discretion. Materials received constitute public information as a matter of

statutory law and will be made available for public inspection and copying upon request by members of the public pursuant to ORC Section 149.43. Any portion of the proposal to be held confidential should be marked to that effect and will not be considered public record if it clearly falls within an exemption enumerated in ORC Section 149.43.

Additional information, such as brochures, glossies and or promotional materials, is to be provided in a separate section at the back of the response.

6.1 Additional Administrative Requirements – Compliance with Support Order(s)

Financial responsibility, integrity, and accountability are essential for operating a business that services the public. Unpaid obligations are a social problem, which threatens the welfare of children and increases the burden on taxpayers to provide social services. Due to the public's growing concern with non-paying parents, government initiatives to create additional, effective enforcement mechanisms are necessary. It is in the County's interest that all contractors doing business with Lucas County demonstrate financial responsibility and integrity and accountability.

All proposers must submit the completed "Compliance Affidavit For Businesses" with their proposal. Once a lowest and best proposer has been determined and prior to award, this form will be submitted by Lucas County to the Child Support Enforcement Agency for certification of substantial compliance of court ordered and/or agency ordered child support of any individuals of the company who have twenty-five (25%) percent or greater vested interest in the company. If the individual is found to be not in compliance, said bidder will be notified that the individual is not in compliance and therefore the bidder/company/contractor is not in compliance and will have five (5) days to be in compliance from date of notification. Failure to comply will cause disqualification of the proposer's/company's /contractor's proposed.

Proposers should contact Lucas County Child Support Enforcement Agency, (419) 213-3106, regarding this requirement should they have questions.

7.0 Contract Administration

The Lucas County Purchasing Department will administer the contract.

8.0 Proposal Evaluation Criteria and Award

An award will be made to the provider who is considered lowest and best proposal for the County's needs.

Lucas County Board of Commissioners reserves the right to reject any and all proposals, to waive minor technicalities and to

request a re-proposal through the proposal process. Lucas County reserves the right to conduct site visits of proposed facilities (at County expense) to determine capability of the proposer to perform.

9.0 Proposal Alterations, Amendments, and Alternate Proposals

No alterations, additions (alternate proposals), or exceptions to the specifications contained herein are permitted except by amendments issued by the Lucas County Purchasing Department to all proposers that have received an RFP.

During the proposal process, proposers may be furnished certain amendments covering additions or deletions to the RFP documents. Amendments will be included in the scope of work and will become a part of contract documents. Amendments may be issued up to seventy-two (72) hours preceding the proposal opening date, excluding weekends and holidays.

Any prospective proposer desiring an explanation or interpretation of the RFP or specifications must request it in writing soon enough to allow a reply to reach all prospective proposers before the submission of their proposals but no later than 5 (five) business days prior to the proposal opening. Oral explanations or instructions given before the award of a contract will not be binding. Any information given a prospective proposer concerning the RFP will be furnished promptly to all other prospective proposers as an amendment, if that information is necessary in submitting proposals or if the lack of it would be prejudicial to other prospective proposers.

10.0 Equal Opportunity Provisions Required

All proposers must be willing to enter a contract containing the express language contained in Section 125.111 of the ORC, which requires the following:

> Every contract for or on behalf of the state or any of its political subdivisions for the purchase of materials, equipment, supplies, contract of insurance, or services shall contain provisions similar to those required by Section 153.59 of the Revised Code in the case of construction contracts by which the proposer agrees to both of the following:
>
> > That in the hiring of employees for the performance of work under the contract or any subcontract no proposer or subcontractor shall, by reasons of race, color, religion, sex, age, handicap, national origin or ancestry, discriminate against any citizen of this state in the employment of a person qualified and available to perform the work to which the contract relates.
> >
> > That no proposer, subcontractor, or any person acting on behalf of any proposer or subcontractor shall, in

any manner, discriminate against, intimidate, or retaliate against any employee hired for the performance of work under the contract on account of race, color, religion, sex, age, handicap, national origin or ancestry.

All proposers who contract with the state or any of its political subdivisions for materials, equipment, supplies, contracts of insurance, or services shall have a written affirmative action program for the employment and effective utilization of economically disadvantaged persons, as defined in Section 122.71 of the Revised Code. Annually, each such proposer shall file a description of the affirmative action program and a progress report on its implementation with the Ohio Civil Rights Commission and the Minority Business Development Office established under Section 122.92 of the Ohio Revised Code.

11.0 Insurance Requirements

If proposal specifications require performance of labor for Lucas County, seller must agree to indemnify and protect Lucas County against all liabilities, claims, or demands for injuries or damages to any person or property growing out of the performance of this contract, by seller, its servants, employees agents or representatives. Prior to issuance of purchase order, the successful proposer must furnish an Insurance Carrier's Certificate showing that the seller has adequate worker's compensation, public liability, and property damage insurance coverage in accordance with the "County of Lucas Contractor Insurance" page of the proposal document.

12.0 Contract Term and Extension

The successful proposer's Support Services and Implementation Work Plan submission may define the term of the resulting contract. The exact contract commencement date, completion date, and option periods will be set forth in the contract and resolution approving the contract as adopted by the Lucas County Board of Commissioners.

13.0 Invoices

The proposer will be required to submit invoices in triplicate (one original and two copies) to the "invoice to" address identified in the purchase order used to issue orders against this contract. The proposer's Federal Tax Identification Number should appear on all statements and invoices.

Invoices must include the following:

Name and address of proposer
Invoice remittance address as designated in the contract & description including:

Billing period

Location
Unit Code (must match proposal)
Calculated extended cost
Description of item purchased
P. O. or Contract #

14.0 Assignment/Subcontractor

Neither the contract nor any rights, duties or obligations described herein will be assigned by either party hereto without prior express, written consent of the other party. The contract will be made pursuant to the proposal submitted by the proposer. The contract will be based on the proposer's qualifications and responsibilities. The proposer will not sublet or assign the contract nor shall any subcontractor commence performance of any part of the work included in the resulting contract, without the previous written consent of Lucas County.

15.0 Taxes

Lucas County does not pay local, state or Federal taxes. If requested, the proposer will be furnished with an exemption certificate.

16.0 Permits/Codes

The selected proposer is responsible for obtaining all permits and licenses required for performance of the work specified. All labor and materials provided under this agreement shall meet or exceed minimum standards covered by the current applicable code(s) or proposer shall have obtained a legal waiver.

17.0 Compliance with the Law

The proposer must agree to comply with all applicable Federal, state, and local laws in the conduct of the work specified in this ITB including applicable state and Federal laws regarding drug-free work places. The proposer will be required to accept full responsibility for payment of all taxes and insurance premiums including, but not limited to; Unemployment Compensation insurance premiums, Workers' Compensation, all income tax deductions, Social Security Deductions, and any other taxes or payroll deductions required for all employees engaged by the proposer in the performance of the work specified in this RFP.

18.0 Pricing

Proposers are expected to quote firm and fixed prices on a per unit basis, in the format specified in the specifications. The successful proposer will not change the unit price or the scope of work during the contract period or any extension periods, however, should the proposer receive a decrease in overall costs associated with the commodity, this provision shall allow for modification of the existing contract to decrease the price.

It is the County's intent to establish a contractual arrangement for specified commodity or service. Any services not specifically named on the pricing pages are to be named and priced on Additional Response Area **(Section C).** Additional pricing may be submitted on subsequent pages so long as presented in a manner consistent with supplied format.

There will be no incidental charges for services. If Lucas County has left any information out of these specifications where the Proposer would foresee additional charges/fees, the proposer must include that information on the exception sheet found in **(Section C).**

19.0 Termination for Convenience

Lucas County reserves the right to terminate the resulting contracts for its convenience by giving the proposer 30 (thirty) days written notice. Lucas County reserves the right to terminate during the contract period or any subsequent renewal period.

20.0 Termination for Default

Lucas County may terminate the contract at any time the proposer fails to carry out its provision under the terms and conditions of the specified contract after issuance of a cure notice. The proposer will have thirty days after notice of required improvement to make necessary corrections. If, after such notice, the proposer fails to remedy the conditions, Lucas County will issue an order to stop work immediately and terminate the contract without obligation.

21.0 Non-Acceptance Criteria for Work, Materials and Service

No certificate of payment, no provision in the proposal documents, or any partial shipment of materials or entire occupancy of government shall constitute an acceptance of work, materials or service not done or provided in accordance with the contract documents, or relieve the proposer of liability for any express or implied warranties or responsibility for faulty materials or workmanship. The proposer shall remedy any defects in the work, material or service and pay for any other resulting damage to other work, material or equipment which appears within one year of final acceptance of the work, materials, or service unless a longer period is elsewhere specified. Nothing stated herein should relieve the proposer of common law liability for latent defects, which may appear after the expiration of the warranty period.

22.0 Performance Requirements

The delivery of any material, equipment, or the performance of any service that does not conform in all respects to the specifications will be rejected and the Board of Commissioner's representative and reasons for the rejection shall notify the Proposer. If the Proposer fails to make immediate replacement of

such rejected material, equipment or service meeting the specifications, the Board of Commissioners will procure in the open market materials, and equipment, or hire labor of the quality required to meet the specifications up to the value rejected and the Proposer and his surety shall be liable to the Board of Commissioners for the total costs of the correction. The Board of Commissioner's performance of the work, when the Proposer is not doing the work in accordance with the specifications of the contract, shall result in a claim against the proposer for all costs and damages which will be allowed by reason of such non-performance.

If the Proposer defaults or neglects to carry out the work in any respect in accordance with the contract documents and fails to correct the default, except where an extension of time is granted in writing by the County, the County upon written notice to the Proposer may, without prejudice to any other remedies the County may have, make the correction required. If the default or neglect results in a threat to the safety of persons or property, the Proposer must immediately commence to correct such default or neglect upon written or oral notice.

23.0 Indemnification

The Proposer awarded this contract shall assume the defense of, indemnify, and save harmless the County or any authorized political subdivision receiving services under this contract from any claims or liabilities of any type or nature to any person, proposer, or corporation arising in any manner form the proposers performance of the work required under this contract and shall pay any judgment obtained or growing out of said claims, liabilities, or any of them.

24.0 Non-Appropriation of Funds

Proposers are advised that although the term of this contract may span several fiscal years, this contract is contingent upon the County budgeting and appropriating the funds necessary for the continuation of this contract in the current year. In the event that the funds necessary for the continuation of this contract are not approved for expenditure in any year, this contract shall terminate on the last day of the fiscal year in which funding was approved, with no penalty to the County.

25.0 Co-Op Opportunities

ORC 9.48 allows any county to participate in contracts of other counties or townships in the acquisition of equipment, materials, supplies or services using the same terms, conditions and specifications and same or lower price.

Lucas County may permit authorized counties, townships or municipalities here after referred to as political subdivisions, to participate in contracts that Lucas County has entered into for the purchase of certain supplies, services, materials and equipment. Upon contract award, authorized political

subdivisions are approved to order directly with the supplier. All invoices for such purchases must be sent directly to the ordering political subdivisions' billing address. Under no circumstances is Lucas County obligated to that political subdivision's financial commitments.

COUNTY OF LUCAS CONTRACTOR INSURANCE

21 INSURANCE

21.1 The CONTRACTOR shall purchase and maintain such insurance as will protect him from claims set forth below which may arise out of or result from the CONTRACTOR'S execution of the WORK, whether such execution be by himself or by any SUBCONTRACTOR or by anyone directly employed by any of them, or by any one for whose acts any of them may be liable:

21.1.1 Claims under workmen's compensation, disability, benefit and other similar employee benefit acts;

21.1.2 Claims for damages because of bodily injury, sickness or disease or death of his employees;

21.1.3 Claims for damages because of bodily injury, sickness or disease or death of any person other than his employees;

21.1.4 Claims for damages insured by usual personal injury liability coverage which are sustained (1) by any person as a result of an offense directly or indirectly related to the employment of such person by the CONTRACTOR, or (2) by any other person; and

21.1.5 Claims for damages because of injury to or destruction of tangible property, including loss of use resulting there from.

21.2 Certificate of Insurance acceptable to the OWNER shall be filed with the OWNER prior to commencement of the WORK naming OWNER as additional insured. These Certificates shall contain a provision that coverages afforded under the policies will not be canceled unless at least thirty (30) days prior WRITTEN NOTICE has been given to the OWNER.

21.3 The CONTRACTOR shall procure and maintain, at his own expense, during the CONTRACT TIME, liability insurance as hereinafter specified;

21.3.1 Comprehensive General Liability and Property Damage, Contractor's Protective Liability, Contractual Liability, Completed Operations-Products, Automobile Bodily Injury and Property Damage, owned and non-owned and hired vehicles and Owner's Protective Liability. The latter policy shall name as the insured the OWNER. If excluded from CONTRACTOR'S standard coverages, the following shall be deleted for policies provided under the CONTRACT DOCUMENT EXCLUSIONS: (1) "Underground Operations" (2) "Third Party Beneficiary" and (3) "Collapse" - where exposure is determined. Bodily Injury Liability and Property Damage Insurance shall cover the use of "Explosives" if used in performance of the CONTRACT. Insurance should be place with a carrier with an AM Best Rating of at least an A-.

The types and **minimum** limits of insurance shall be as follows:

Commercial General Liability Insurance -
General Aggregate Limit - $2,000,000
Products-Completed Operations-

Aggregate Limit - $2,000,000
Personal and Advertising
Injury Limit - $1,000,000
Each Occurrence Limit - $1,000,000
Comprehensive Automobile Liability
Bodily Injury & Property Damage Liability Limit
Each Occurrence - $1,000,000

The above minimum coverages may be obtained through the primary insurance or any combination of primary and umbrella insurance. In addition, the General Aggregate Limit shall be required on a per project basis.

21.3.2 The CONTRACTOR shall acquire and maintain, if applicable, Fire and Extended Coverage Insurance upon the PROJECT to the full insurable value thereof for the benefit of the OWNER, the CONTRACTOR, and SUBCONTRACTORS as their interest may appear. This provision shall in no way release the CONTRACTOR or CONTRACTOR'S surety from obligations under the CONTRACT DOCUMENTS to fully complete the PROJECT.

21.4 The CONTRACTOR shall procure and maintain at his own expense, during the CONTRACT TIME, in accordance with the provisions of the laws of the state in which the work is performed, Workmen's Compensation Insurance, including occupational disease provisions, for all of his employees at the site of the PROJECT and in case any work is sublet, the CONTRACTOR shall require such SUBCONTRACTOR similarly to provide Workmen's Compensation Insurance, including occupational disease provisions for all of the latter's employees unless such employees are covered by the protection afforded by the CONTRACTOR. In case any class of employees engaged in hazardous work under this contract at the site of the PROJECT is not protected under Workmen's Compensation statute, the CONTRACTOR shall provide, and shall cause such SUBCONTRACTOR to provide, adequate and suitable insurance for the protection of his employees not otherwise protected.

21.5 The CONTRACTOR shall secure, if applicable, "All Risk" type Builder's Risk Insurance for Work to be performed. Unless specifically authorized by the OWNER, the amount of such insurance shall not be less than the CONTRACT PRICE totaled in the RFP. The policy shall cover not less than the losses due to fire, explosion, hail, lightning, vandalism, malicious mischief, wind, collapse, riot, aircraft and smoke during the CONTRACT TIME, and until the WORK is accepted by the OWNER. The policy shall name as the insured the CONTRACTOR, and the OWNER.

22. INDEMNITY

22.1 PROFESSIONAL LIABILITY

Relative to any and all claims, losses, damages, liability and costs, the CONTRACTOR agrees to indemnify and save the County of Lucas, its officials and employees (herein after "County") harmless from and against any and all suits, actions or claims for property losses, damages or personal injury claimed to arise from a negligent act, error or omission by the CONTRACTOR or its employees.

22.2 NON-PROFESSIONAL LIABILITY

To the fullest extent permitted by law, the CONTRACTOR shall indemnify and hold harmless the County of Lucas, its officers, officials and employees (hereinafter "County"), or any of them from and against claims, damages, losses and expenses, including but not limited to attorneys' fees arising out of the acts or omissions of the CONTRACTOR, provided that such claim, damage, loss or expense is attributable to bodily injury, sickness, disease or death, or to injury to or destruction of property (other than the Work itself) including loss of use resulting there from, but only to the extent caused in whole or in part by the acts or omissions of the CONTRACTOR, any subCONTRACTOR(s) of the CONTRACTOR, its agents, or anyone directly employed by them or anyone whose acts they may deem liable, regardless of whether or not such claim, damage, loss or expense is caused in part by a party indemnified hereunder. Such obligation shall not be construed to negate abridge, or reduce other rights or obligations of indemnity which would otherwise exist as to a party or person described in this paragraph 22.2. It is understood and agreed that this indemnification obligation is enforceable to the full extent permitted by Ohio Revised Code Section 2305.31.

22.3 It is expressly understood and 'agreed that these indemnification obligations are enforceable to the full extent permitted by Ohio Revised Code Section 2305.31. In any and all claims against the County by any employee of the CONTRACTOR, and any subCONTRACTOR(s) of the CONTRACTOR, agent or anyone directly or indirectly employed by any of them or anyone for whose acts any of them may be liable. CONTRACTOR hereby expressly waives the immunity provided to CONTRACTOR by Article II, Section 35, of the Ohio Constitution and Ohio Revised Code Section 4123.74 and 4123.741, all regarding worker's compensation immunity, so that this indemnification obligation may be enforced by the County of Lucas against CONTRACTOR in those instances.

22.4 If the CONTRACTOR subcontracts with the County, the CONTRACTOR shall require its subCONTRACTORS to indemnify the County of Lucas in accord with Article 22.

22.5 CONTRACTOR Responsible - The CONTRACTOR expressly understands that the insurance requirements as outlined above are minimum requirements to be met under the contract and does not in any manner represent that the limits, coverage or policy forms are sufficient or adequate to protect the interest or liability of the CONTRACTOR and/or its subCONTRACTORS.

THE FOLLOWING MUST BE INCLUDED (IN THE SPECIFIED AREAS) ON ALL INSURANCE CERTIFICATES:

- DESCRIPTION OF THE PROJECT AND LOCATION: you may use a generalized listing of the duties to be performed under this certificate of insurance. Example: "Projects Executed for the Board of Lucas County Commissioners."

- CERTIFICATE HOLDER: Board of Lucas County Commissioners, One Government Center, Suite 800, Toledo, Ohio 43604-2247.

SECTION A – AFFIDAVITS

DELINQUENT PERSONAL PROPERTY TAX STATEMENT
(O.R.C. Section 5719.042)

THIS FORM MUST BE COMPLETED IN ITS ENTIRETY AND NOTARIZED

I _____, _____, _____
(NAME) (TITLE) (NAME OF COMPANY)

affirm that at the time that I submitted the proposal for _____
(RFP TITLE)

to the Board of Lucas County Commissioners on _____ that
(DATE)

_____ was / was not charged with delinquent
(NAME OF COMPANY) (CIRCLE ONE)

Personal Property Taxes by the Lucas County Auditor.

(If Personal Property Taxes are delinquent, complete the following section)

The amount of delinquent Personal Property Taxes due Lucas County is

_____ and unpaid penalties and interest are _____.
(AMOUNT) (AMOUNT)

_____
(SIGNATURE)

_____
(COMPANY)

_____
(DATE)

Sworn to and subscribed before me this _____day of,_____ 20___.

(SEAL) _____
(NOTARY)

My Commission Expires:

_____
(Date)

NON-DISCRIMINATION AND EQUAL EMPLOYMENT OPPORTUNITY AFFIDAVIT

STATE OF _____

SS

COUNTY OF _____

_____ being first duly sworn, deposes and says that
(Name)

he/she is _____ of _____ the party
(Title) (Company)

that made the foregoing proposal; that such party as proposer does not and shall not discriminate against any employee or applicant for employment because of race, religion, color, sex or national origin. If awarded the proposal and contract under this proposal, said party shall take affirmative action to insure that applicants are employed and that employees are treated, during employment, without regard to their race, religion, color, sex or national origin. If successful as the lowest and best proposer under the foregoing proposal this party shall post non-discrimination notices in conspicuous places available to employees and applicants for employment setting forth the provision of this affidavit.

Furthermore, said party agrees to abide by the assurances found in Section 153.59 of the Ohio Revised Code in the Contract Provisions with the Owner if selected as the successful proposer by the owner.

_____
(Signature)

_____
(Affiant)

_____
(Company/Corporations)

_____
(Address)

_____
(City/State/Zip Code)

Sworn to and subscribed before me this _____day of_____, 20____.

(Seal) _____
(Notary)

My Commission Expires:

_____
(Date)

NON-COLLUSION AFFIDAVIT

STATE OF OHIO,

COUNTY OF LUCAS, SS:

_____ being first duly SWORN, deposes and says that he is the_____or authorized representative of _____ or is the party submitting this proposal; that such proposal is genuine and not collusive or sham; that said proposer has not colluded, conspired, connived, or agreed, directly or indirectly, with any other proposer or person, to submit a sham proposal, or refrain from proposing; has not in any manner, directly or indirectly sought by agreement or collusion, or communication or conference, with any person, to fix the proposal price of affiant or any other proposer, to fix any overhead, profit or cost element of said proposal price, or of that of any other proposer; to secure any advantage against the County of Lucas or any person or persons interested in the proposed contract; that all statements contained in said proposal of proposal are true and that, such proposer has not, directly or indirectly submitted this proposal, or the contents thereof, or divulged information or data relative thereto to any other potential proposer. Further, Affiant affirms that no county employee has any financial interest in this company or the proposal being submitted.

_____
(Affiant Signature)

_____
(Affiant Title)

SWORN to before me and subscribed in my presence
this _____ day of _____, 20_____.
(Date) (Month) (Year)

_____
(Notary Public)

(SEAL)

My Commission Expires

_____
(Date)

NO FINDINGS FOR RECOVERY AFFIDAVIT

THIS FORM MUST BE COMPLETED IN ITS ENTIRETY AND NOTARIZED

I _____ (NAME), _____ (TITLE), _____ (NAME OF COMPANY)

affirm that at the time that I submitted the proposal for _____ (RFP TITLE)

to the Board of Lucas County Commissioners on _____ (DATE) that

_____ (NAME OF COMPANY) has / has no (CIRCLE ONE) unresolved

finding for recovery from the State Auditor per Ohio Revised Code

Section 9.24.

(If there is unresolved finding for recovery from the State Auditor , complete the following section)

The amount of unresolved finding for recovery due the State Auditor is

_____ (AMOUNT) and unpaid penalties and interest are _____ (AMOUNT).

_____
(SIGNATURE)

_____
(COMPANY)

_____
(DATE)

Sworn to and subscribed before me this _____day of,_____ 20___.

(SEAL)

_____
(NOTARY)

My Commission Expires:

_____

Additional Administrative Requirements
Compliance with Support Order(s)

Financial responsibility, integrity and accountability are essential for operating a business that services the public. Unpaid obligations are a social problem which threatens the welfare of children and increases the burden on taxpayers to provide social services. Due to the public's growing concern with non-paying parents, government initiatives to create additional, effective enforcement mechanisms are necessary. It is in the County's interest that all contractors doing business with Lucas County demonstrate financial responsibility and integrity and accountability.

All proposers **must submit** the **completed** "Compliance Affidavit For Businesses" with their proposal. Once a lowest and best proposer has been determined and prior to award, this form will be submitted by Lucas County to the Child Support Enforcement Agency for certification of substantial compliance of court ordered and/or agency ordered child support of any individuals of the company who have twenty-five percent (25%) or greater vested interest in the company. If the individual is found to be not in compliance, said proposer will be notified that the individual is not in compliance and therefore the proposer/company/contractor is not in compliance and will have five (5) days to be in compliance from date of notification. Failure to comply will cause disqualification of the proposer's/company's/contractor's proposal.

Proposers should contact Lucas County Child Support Enforcement Agency, 419-213-3106, regarding this requirement should they have questions.

COMPLIANCE AFFIDAVIT FOR BUSINESSES

THIS FORM MUST BE COMPLETED IN ITS ENTIRETY BY THE PROPOSER AND NOTARIZED

STATE OF OHIO }
}**ss:**
COUNTY OF LUCAS }

_____, being first duly sworn, deposes and says that
(Authorized Officer)
he/she is _____ of _____
(Title) (Company Name)
the party making the foregoing proposal or proposal; that according to his/her knowledge, based upon company records the following individuals have a twenty-five (25%) percent or greater vested interest in _____.
(Company Name)

Name	Child Support Case/Order No:	Social Security Number:

Please check if applicable: _____ There are no individuals with twenty-five percent (25%) or greater vested interest in _____.
(Company Name)

_____
(signature)

Affiant:_____

Sworn to and subscribed in my presence this _____ day of _____, 20____.

_____
(Notary Public)

Lucas County Contract Transparency Purchasing Policy Disclosure

In the spirit of a more transparent Lucas County government, the Board of Lucas County Commissioners adopted Resolution #08-532 on May 13, 2008 requiring disclosure of political donations by certain individuals and/or political action committees related to the award of certain contracts. This policy applies to any contract at or above $10,000 that requires a vote of the Board.

Please list all contributions made by any owner of the company proposing on this contract. An owner is defined as owning more than twenty per cent of the corporation or business trust, a spouse of an owner of more than twenty per cent of the corporation or business trust, a child seven years of age through seventeen years of age of an owner of more than twenty per cent of the corporation or business trust or political action committees directly associated with this company within one year prior to the date of this award to any Lucas County elected officials. If no contributions have been made, please note "None."

_____

_____

_____

_____

_____

_____

_____

_____

_____

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_____

_____

_____

_____

LUCAS COUNTY SWEATFREE AFFIDAVIT

STATE OF _____

COUNTY OF _____, ss:

Personally appeared before me the undersigned, as an individual or as a representative of

_____for a contract for_____
(Name of Entity (Type of Product or Service)

to be let by the Board of Commissioners, Lucas County, Ohio, who, being duly cautioned and sworn, makes the following statement with respect to the Lucas County Sweatfree Procurement Policy and further states that the undersigned has the authority to make the following representation on behalf of himself or herself or of the business entity:

1. Name, physical address, phone number and contact persons for each production facility that will be involved in the production of goods or the provision of services.

_____

_____

_____

2. I have personal knowledge of the information contained in section 1 or I have obtained such information from any resale entity.

3. I understand my obligation to ensure that all applicable production facilities adhere to the sweatfree code of conduct as defined in Section IV of the Lucas County Sweatfree Procurement Policy.

4. I understand that if Lucas County, the State and Local Sweatfree Consortium, and/or an independent monitor find any of the production facilities listed above to be out of compliance with any of the provisions of Section IV of the Lucas County's Sweatfree Procurement Policy, and I fail to take all reasonable steps as specified by and/or its designee(s), I will be deemed out of compliance with the sweatfree code of conduct as defined in the Lucas County Sweatfree Procurement Policy.

5. I have furnished a copy of the sweatfree code of conduct as defined in Section IV of the Lucas County Sweatfree Procurement Policy to each production facility named in paragraph 1 and to each relevant subcontractor and I have instructed each subcontractor to furnish the code of conduct to each relevant production facility.

BIDDER:

SIGNATURE: _____

NAME: _____

TITLE: _____

DATE: _____

Sworn to before me and subscribed in my presence by the above named person this _____day of _____, 20_____.

NOTARY PUBLIC: _____

My Commission Expires:
_____

SECTION B – SPECIFICATIONS & PRICING

LUCAS COUNTY

REQUEST FOR PROPOSALS

RFP 14-017P

To Furnish, Deliver and Install Court-Related Management Information Systems For a Collaborative Judicial/Correctional System for Lucas County, Ohio

Date of Issuance
[November 4, 2014]

Lucas County Support Services, Purchasing Division, One Government Center, Suite 480,
Toledo, OH 43604-2247
(419) 213-4520 Fax: (419) 213-4533

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1 Introduction

The Board of Lucas County Commissioners and the Collaborative Judicial/Correctional Systems of Lucas County (collectively referred to as Lucas County) invite qualified technology companies (Offerors) to submit written proposals to provide several information systems to support court operations and case management. These systems are:

- Court of Common Pleas CMS, which includes Court/ Clerk CMS (General, Domestic Relations & Juvenile Divisions), including functions of the Sheriff's Office Civil Division
- Electronic filing (e-filing) system
- Supervision (Adult Pretrial-Presentence and Adult Probation and Juvenile Probation) CMS
- Jail/ Detention Management System
  - Lucas County Corrections Center (Sheriff's Office)
  - Work Release Department (General Division)
  - Correctional Treatment Facility (General Division)
  - Juvenile Detention (Juvenile Division)
  - Youth Correctional Center (Juvenile Division)
- Prosecuting Attorney CMS
- Jury management system

In this RFP the software systems will be referred to collectively as the Integrated Case Management System (ICMS), recognizing that an Offeror will assemble a suite of systems to propose. This RFP states the scope of the procurement, the general rules for preparing responses, and the Collaborative Judicial/Correctional Systems requirements. Responses must clearly detail how the software and services being proposed can best satisfy the Collaborative Judicial/Correctional Systems requirements. Proposals in response to this RFP must provide for all of the systems within the scope of the procurement. An Offeror is 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.***

2 Procurement Timeline

Following is a listing of procurement actions and their respective dates and times (***note the time zones)***; Lucas County 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
RFP Issuance	November 4, 2014
Notice of intent to attend mandatory pre-proposal conference in person or by teleconference	2 P.M., November 12, 2014

Questions/clarifications due	9 A.M., November 18, 2014
Mandatory pre-proposal conference	2 P.M., November 18, 2014
Notice of intent to propose and register to receive responses to questions/clarifications due	2 P.M., November 18, 2014
Responses to questions/clarifications posted to web site	2 P.M., November 26, 2014
Proposals due	2 P.M., December 30, 2014
Notification of finalists	January 30, 2015
Finalist demonstrations on Lucas County	February 17 to March 13, 2015
Notification of selection	March 20, 2015
Starting date of contract negotiation	March 30, 2015

3 Offeror Qualifications

Lucas County will consider proposals to provide the suite of case management, e-filing, jury management and jail/ detention management systems using one of the following approaches:

1) Off-the-shelf systems, customized to meet the requirements
2) Highly-configurable systems, configured to fit the requirements
3) Custom-developed systems designed to meet the requirements

Lucas County will weigh the following factors in determining the qualifications of an Offeror, which approach and which vendor to select:

- Demonstrable experience and competence in prior systems installed, including satisfaction of customers using the proposed approach
- Quality and expected lifecycle of a proposed solution
- The fit of the proposed solution with local business practices and technical environment
- The flexibility and adaptability of the proposed solution to future needs
- The quality of the implementation plan and time to implement
- Total cost of ownership of the systems.

4 Procurement Information and General Guidelines

This section presents information regarding the procurement process. See Section 2 above for the Procurement Timeline.

4.1 General Information on Procurement

Issued By: Lynn Di Pierro, Support Services Manager
Purchasing
One Government Center

Suite 480
Toledo, OH 43604

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

http://www.co.lucas.oh.us/index.aspx?nid=532

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 address by the date/ time stated above in 2. Procurement Timeline:

ldipierr@co.lucas.oh.us

Mandatory Pre-Proposal Conference: The Lucas County Commissioners will host a pre-proposal conference to discuss the RFP and address your questions. It will be held at ***2:00 P.M. (EDT) on November 18, 2014 in Toledo at the Clerk's Office or via phone conference, by calling phone conference call-in number 1-800-503-2899, access code 320-9136***. **All interested respondents are required to attend this meeting either in person or by teleconference**. If you plan to attend, you must contact the Clerk of Courts office CJHolley@co.lucas.oh.us to confirm your attendance and in-person or telephonic attendance by close of business on **November 12, 2014**, with a representative's name, company and contact number. **Please reference RFP 14-017P in the subject line of your email**. A confirmation email will be returned with specific information concerning the conference. Failure to attend this meeting will result in the rejection of your bid. A register of attendees shall be placed on the same web site as this RFP.

Proposals: The Offeror's proposal will consist of two separate but related parts: The technical proposal and the cost proposal. Proposals 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). Attachments 1-7 are to be in Microsoft Word format. Failure to submit Attachments 1-7 in Word format will result in rejection of your bid. The rest of the Technical Proposal may be in PDF format.
- ***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. Failure to submit Cost Proposals in Excel format will result in rejection of your bid.

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

4.2 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 Purchasing Support Services Manager 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. Lucas County 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 Lucas County Court of Common Pleas will be unable to respond to questions received after the specified deadline.

4.3 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.

4.4 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.

4.5 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.

4.6 Evaluation of Proposals

Evaluation of proposals will be conducted in two phases. In Phase I, the evaluation committee, consisting of members of the ICMS Governance Board and their assignees, and representatives of Purchasing, will read and rate the proposals. The Board will then determine which Offerors to invite

to participate in the second phase of the evaluation. A representative of Lucas County 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). Evaluation committee members will have an opportunity to revise their scores from Phase I by adding points to the evaluation score or by deducting points, based on the presentations/ demonstrations, and the committee will establish a final score for each Offeror. This final score will determine and rank the best qualified Offerors.

4.7 System Demonstrations

Each finalist will be required to provide a four-day demonstration in Lucas County during the established demonstration period (see the procurement schedule in Section 2). The agenda will provide time for the finalists to demonstrate the capabilities of each component of its solution: Court/Clerk, E-filing and Jury Management; Supervision; Detention; and Prosecution. Finalists will be expected to follow the script provided. The script will include some of the scenarios set forth in **Attachments 1 – 6,** 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 Lucas County, and this will be taken into account during the demonstrations.

Each finalist will be required to demonstrate the proposed version/release of each module in its suite of solutions. Unavailability of applications/versions will negatively affect the score assigned to the finalist.

4.8 Negotiation and Award of Contract

Following the evaluation and ranking of the proposals and product demonstrations, 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. This RFP text, Offeror proposals, answers to vendor questions, and Best and Final Offer documents, will become part of the contract for this project.

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, it must propose a replacement(s) during contract negotiations. Any team replacements must be approved by Lucas County 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 legal requirements have been met.

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.

5 Overview and Background Information

5.1 Scope and Purpose of RFP

The Court of Common Pleas, Clerk of Court, Prosecuting Attorney and Sheriff's Office of Lucas County are replacing current automated systems that support operations of their divisions and departments, primarily case-related 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 modules:

- Court of Common Pleas CMS, which includes
  - Court/ Clerk CMS (General, Domestic Relations & Juvenile Divisions of the Court and the Clerk's Office), plus functions of the Sheriff's Office Civil Division
  - Supervision (Juvenile Probation and Adult Pretrial-Presentence and Probation) CMS
  - Jail/ Detention Management System
    - Lucas County Corrections Center (Sheriff's Office)
    - Work Release Department (General Division)
    - Correctional Treatment Facility (General Division)
    - Juvenile Detention (Juvenile Division)
    - Youth Correctional Center (Juvenile Division)
- Prosecuting Attorney CMS
- Electronic filing (e-filing) system
- Jury management system

An Offeror is expected to provide all functionality requested and form proposal teams under the leadership of a prime contractor. In this RFP the software modules will be referred to collectively as the Integrated Case Management System (ICMS), recognizing that an Offeror will assemble a suite of modules 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 modules and with other specified existing justice-related information systems.

The modules will be used by employees and contractors of the Court of Common Pleas, Clerk of Court, Prosecuting Attorney and Sheriff's Office of Lucas County, with the following numbers of users:

Organization and Division/ Department	Summary of Court Users by Division	Court/ Clerk	E-filing	Supervision - Adult and Juvenile	Detention and Jail	Prosecution	Jury Manage-ment
GD Court	57	57	57				4
GD PTS/ Probation	78		78	78			
GD Detention	80		5		80		
GD Clerk	27	27	27				
DR Court	32	32	32				
DR Clerk	5	5	5				
JC Court/ Clerk	56	56	56				
JC Probation	45		45	45			
JC Detention	46		5		46		
Sheriff LCCC			5		75		
Sheriff Civil Div.	5	5	5				
IJS Support	6						
Prosecuting Attorney			94			94	
Totals by Module	**437**	**279**	**414**	**123**	**201**	**94**	**4**

The ICMS will allow Lucas County to meet goals of customer service and court productivity.

5.2 Guiding Principles

Guiding principles for this procurement encompass the County's justice system partners' 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.

5.2.1 Business Goals

To develop and implement a single, county-wide Integrated Case Management System (ICMS). The essential functionality for a successful system is a Web-based case processing and interoperability for the intergovernmental transfer of data, document management, improved access to selected data, electronic filing and payment, and statistics and reports for enhanced court management for the following: Lucas County Common Pleas General Division, Lucas County Juvenile Court, Lucas County Domestic Relations, Lucas County Clerk of Court, Lucas County Prosecutor, Lucas County Sheriff's Jail and Civil Division, as well as all of their partnerships both internal and external. Currently these systems consist of six CMSs and over 19 significant court applications in support of the courts and their justice partners, but must have the ability to expand in the future if others would like to join.

The ICMS project advances three anchoring strategic goals to guide and prioritize what is to be accomplished:

1. Public safety:
    a. Improve efficiency of information sharing within the court system and with justice partners.
    b. Enable and advance information technology (IT) interoperability with justice partners.
    c. Facilitate and support better-informed decision making.
    d. Enable more rapid dissemination and enforcement of court orders.
2. Access to justice:
    a. Improve support to litigants.
    b. Reduce barriers to access, such as language, education, and others.
    c. Enable access from anywhere, anytime.
3. Fair and efficient administration of justice:
    a. Reduce delays.
    b. Better enable and manage flexibility and improvement in court operations county-wide.
    c. Better schedule and coordinate use of Judiciary and other government resources.
    d. Enable better-informed decision making.

5.2.2 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;
- 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 Court of Common Pleas (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);
- 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; and
- Automatically exchange data between the CMS and the other modules as specified.

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; and
- Set up payment plans for fines, 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., law enforcement, jail, service providers), immediately upon completion of an event or transaction.

Infrastructure:

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

System Security:

- Ensure security and integrity of the ICMS, 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 system modules.

5.2.3 Application Management Approach of System Provider

Lucas County seeks an Offeror with an approach to managing applications (applicable to each module proposed) that has the following characteristics:

- A single vendor or a consortium of vendors whose systems are sufficiently integrated as to provide a seamless exchange of information from one module to another;
- A single Court/ Clerk code set for all three divisions of the Court, a single code set for Supervision (comprising the Pretrial-Presentence and Probation Departments of the General Division, and the Juvenile Probation Department of the Juvenile Division), and a single code set for the Sheriff's LCCC and all four detention operations of the Court (comprising the Work Release Department and Correctional Treatment Facility (CTF) of the General Division, and Juvenile Detention Center (JDC) and Youth Correctional Center (YTC) of the Juvenile Division;
- Regular update releases, with at least one major release every 12-18 months, whereby new releases do not affect configuration settings; and
- Customer input into setting the priority of specific enhancements to underlying code.

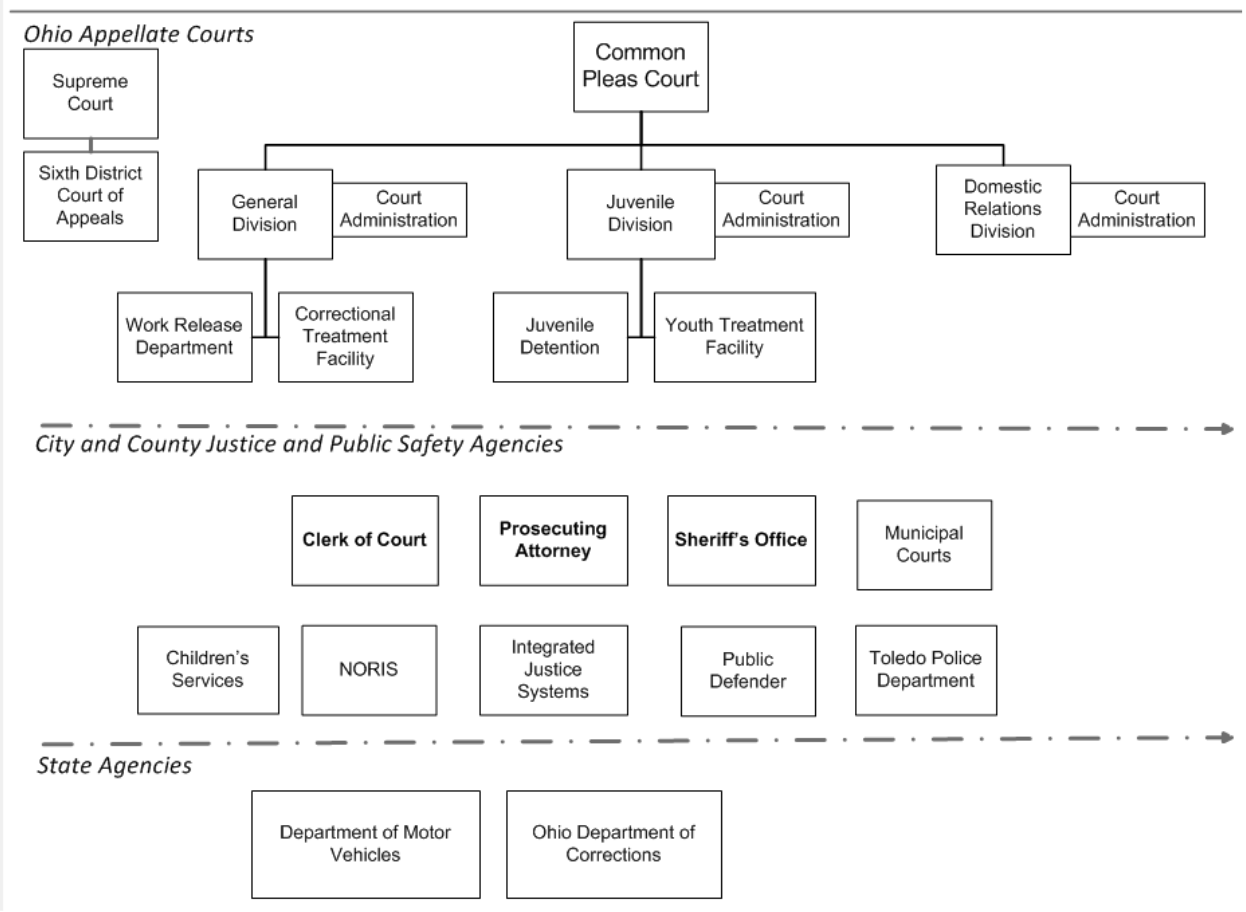
5.3 Business Environment

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

- Lucas County Court of Common Pleas;
- City and County Justice and Public Safety Agencies; and

- State Agencies.

Figure 1: Lucas County Business Environment



Common Pleas judges, the Clerk of Court, the Prosecuting Attorney and the Sheriff are elected officials.

5.3.1 Lucas County Court of Common Pleas

The Court of Common Pleas is composed of three divisions and their departments.

5.3.1.1 General Division

The General Division of the Common Pleas Court hears criminal felony and civil, non-domestic cases.

5.3.1.2 Domestic Relations Division

The Domestic Relations Division of the Common Pleas Court hears only civil cases of families involved in divorce (contested), a dissolution of marriage (uncontested), annulment, legal separation, child custody, visitation, child support, property division, spousal support, and all post-divorce motions after the marriage has terminated.

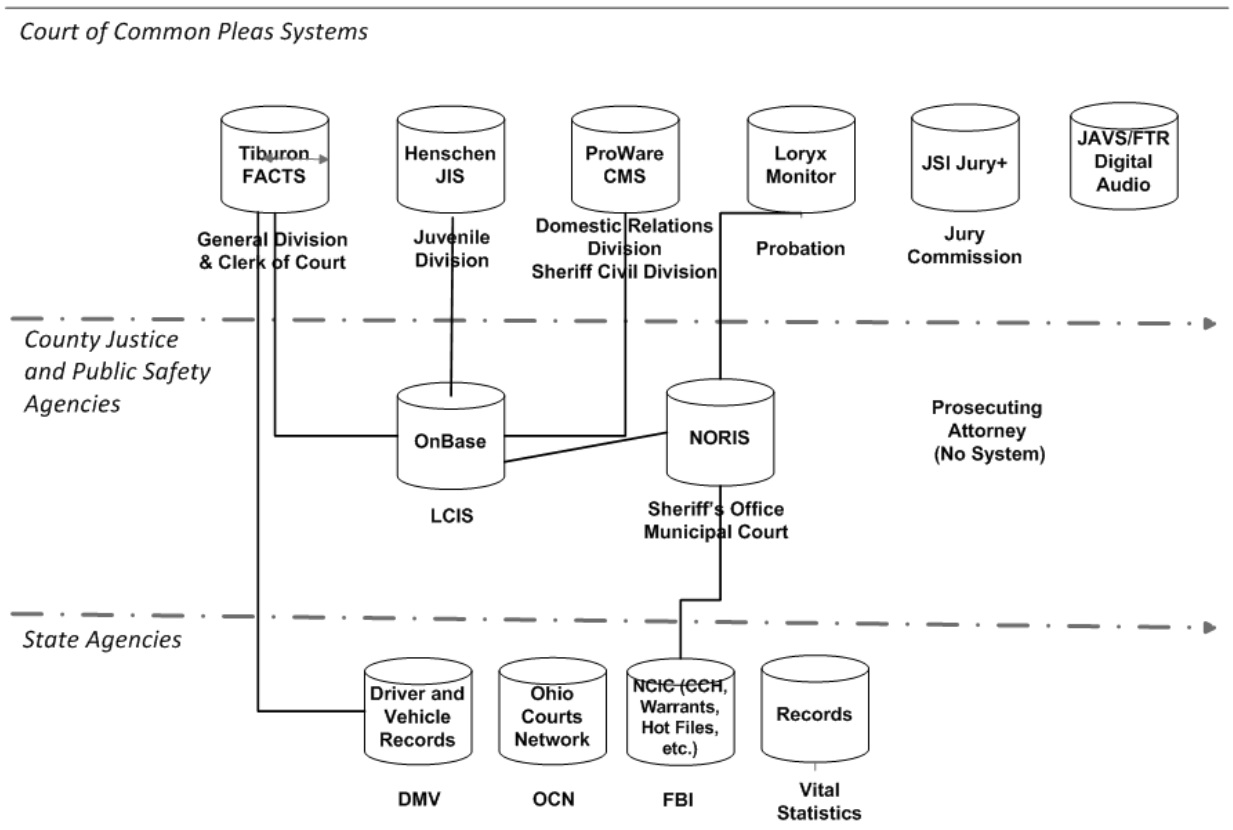
5.3.1.3 Juvenile Division

The Juvenile Division of the Common Pleas Court has jurisdiction over many juvenile-related matters, including delinquency, unruly and traffic charges, dependency, abuse and neglect allegations, and certain custody, visitation and child support matters.

5.4 Current Technology Environment

Although existing legacy systems have served the needs of divisions and departments of the Court of Common Pleas and of the Sheriff's Office fairly well for many years, they are not meeting all of the current requirements mentioned by various stakeholders. The Prosecuting Attorney has no case management system. 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 Court of Common Pleas and other justice agencies are depicted in **Figure 2** and are described below.

Figure 2: Lucas County Current Justice Technology Architecture



5.4.1 Current Systems of the Court of Common Pleas and County Justice Agencies

The Lucas County Court of Common Pleas currently maintains and operates several applications to support management and operations of the courts.

General Division & Clerk of Court
Tiburon, Inc.
Case Management System - FACTS
3000 Executive Parkway, Suite 500 San Ramon, California 94583
Application: Database: Informix

Jury Commission
Jury Systems Incorporated
Case Management System – Jury+
1985 Yosemite Avenue, Suite 135 Simi Valley, California 93063
Application: Database: Oracle

Court Services
Loryx Systems
Case Management System – Monitor
400 Oyster Point Boulevard, Suite 506
South San Francisco, California 94080
Application: Microsoft.Net Database: Microsoft SQL
OnBase Imaging System

Juvenile Court and Clerk
Henschen & Associates, Inc. Case Management System - JIS
432 Gypsy Lane Road Bowling Green, Ohio 43402
Application: FilePro Database: FilePro
OnBase Imaging System

Domestic Relations Court & Clerk of Court
ProWare
Case Management System - CMS
7621 East Kemper Road Cincinnati, Ohio 45249
Application: UniFace Database: Oracle
OnBase Imaging System

Sheriff Civil Division
ProWare Case Management System - CMS
7621 East Kemper Road Cincinnati, Ohio 45249
Application: UniFace Database: Oracle
OnBase Imaging System

Sheriff Lucas County Corrections Center
NORIS Inmate Records

One Government Center, Suite 1720
Toledo, Ohio 43604

5.4.2 Current Systems and Interfaces of Other Justice and Public Safety Agencies

Prosecuting Attorney
No case management system

Sheriff's Office LCCC www.noris.org
NORIS Inmate Records (IR) http://www.noris.org/corrections/inmate-records-ir/

5.5 Planned Technology Environment

Lucas County 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 IJS Division will support applications running on a 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.

IJS 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 Lucas County Future Justice Technology Architecture is depicted in **Figure 3**, and is described below.

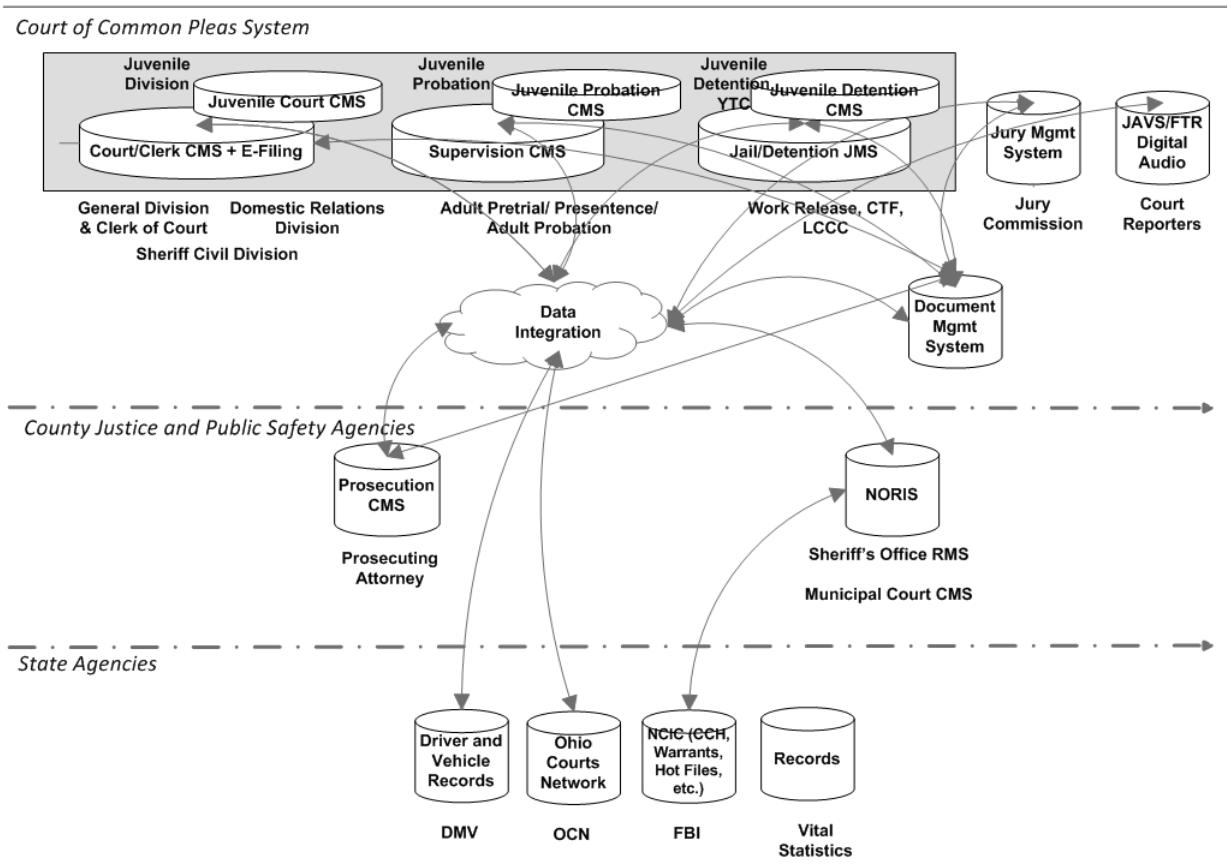
5.5.1 Lucas County Court of Common Pleas

With implementation of the new CMS, the Court of Common Pleas 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 Court/Clerk CMS that supports all units and divisions of the Court of Common Pleas, including the General, Domestic Relations and Juvenile Divisions. This system will provide the public with direct access to non-confidential case information and documents.
- A new e-filing system that interfaces with the Court/Clerk CMS.
- A new document management system that interfaces with the Court/Clerk CMS and the Supervision, Jail/ Detention, and Prosecution modules.

- A new Jury Management 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 Court of Common Pleas.

Figure 3: Lucas County Future Justice Technology Architecture



5.6 Integration

Currently, there is some sharing of information between the Court of Common Pleas and Lucas County justice and public safety information systems. In the future environment, numerous data exchanges are desired.

5.7 Vision for the New Systems

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

5.7.1 Future Application Architecture

The Lucas County Court of Common Pleas also desires to add applications to create the application architecture depicted in **Figure 4**.

5.7.2 ICMS Operational Approach

Through the new ICMS (and e-filing system), the Court of Common Pleas contemplates maintaining all files and records in electronic format as the official record of the Court of Common Pleas. Filed documents become electronic through scanning, and e-filing will predominantly take the place of scanning. 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 to a large extent. This will help the Court of Common Pleas 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, managers and staff want to be able to access cases from anywhere, so all modules of ICMS must be browser-based.

5.7.3 ICMS/E-filing Operational Approach

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 Court of Common Pleas' goal is to implement e-filing for all cases managed by divisions and departments of the Court of Common Pleas.

A process 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 self-represented litigants.

The Court of Common Pleas seeks e-filing that is publicly supported, rather than entirely paid for by users on a pay-for-access basis. The Prosecuting Attorney and other public agencies will not be expected to pay for e-filing access.

Rules will be developed for e-filing with the Court of Common Pleas, and current e-filing rules will be reviewed.

5.7.4 Highly-Configurable Framework Approach to ICMS

The Court of Common Pleas does not seek systems that will be customized to Lucas County's particular requirements, but systems that can be configured to their requirements. As business requirements and business rules change, the Court of Common Pleas would like the agility to change configurations without waiting for the vendor to issue a new release of a module, and for new

releases of modules to respect configuration settings. 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. The detailed business capabilities in the requirements provide a basis for identifying processes and will assist in identifying information about workflow to configure into the system:

- 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 (status flags incorporating the concepts of triggers and alerts);
- 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 Court of Common Pleas, local court rules, Supreme Court Rules of Court Superintendence, and Supreme Court rules of civil and criminal procedure, etc.

By the time of contract award, the winning vendor will be able to leverage this information into a set of business processes to assist in project planning.

5.7.5 Supervision CMS Operational Approach

Through ICMS the supervision units of the Court of Common Pleas (Juvenile Probation and Adult Pretrial-Presentence and Probation) contemplate maintaining as many as possible of the files and records in their module in electronic format. This is intended to streamline the operations in all areas. It will also help the Court of Common Pleas achieve their goals stated above and become more environmentally responsible. Data exchange with the Court/Clerk module will further streamline operations.

5.7.5.1 Jail/ Detention Management System Operational Approach

A jail/ detention module used by the Sheriff's Office and departments of the General and Juvenile Divisions plan to maintain as many as possible of the files and records in their module in electronic format. This will facilitate receiving data from the Court/Clerk module and from the Supervision module, as well as data from other justice agencies.

5.7.5.2 Prosecuting Attorney CMS Operational Approach

The Prosecuting Attorney (PA) was created under public law and are funded by county appropriation. Though not part of the Court of Common Pleas, its functions are closely allied with the court system, and are maintained independent of it.

Attorneys in these offices handle civil, criminal, and juvenile cases, and a variety of other types of activities.

All criminal cases either come from municipal courts in the county or originate in the Court of Common Pleas. Court data needs to populate the PA's cases or be directly accessible. PA data must remain separate from the court's data. The Offeror must provide separate instances of the CMS database for the Prosecuting Attorney's Office, not viewable by any other office, in order to eliminate visibility by users of the CMS in other offices.

5.7.6 Jury Management System Operational Approach

The Court of Common Pleas desires a jury management system that will support all aspects of jury management in the Court of Common Pleas. With some exceptions, a paperless system is desired. Through the new Jury Management System, the Court of Common Pleas 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.

Any paper received by the Court of Common Pleas will be scanned and placed in the DMS. The system should interface with the Court/Clerk module so that case-specific records of juror service can be maintained, and facilitate juror payment.

6 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.

6.1 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 Court of Common Pleas' accounts
- Acknowledgment of receipt of Amendments/Addenda to the RFP (if any)
- Signature by an individual authorized to bind the proposing entity

6.2 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 5.2 "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.

6.3 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 such an ICMS. 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 Court of Common Pleas' 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 Court of Common Pleas' proposed project, emphasizing systems that have been similarly configured and have been in operation for at least one year. The Court of Common Pleas is particularly interested in references that support the modules described in **Attachments 1 – 6** 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 Court of Common Pleas 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 Court of Common Pleas 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 Court of Common Pleas is requiring the Offeror to obtain a DUNS number.

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

6.4 Section 4 - Product History and Future Disclosed Plans

In proposal Section 4 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 Court of Common Pleas.

6.5 Section 5 - Architecture and Hardware Configuration

In proposal Section 5, describe the technology architecture of your proposed solution. The architecture should be designed to support satisfaction of the functional requirements detailed in **Attachments 1 – 6**, the non-functional requirements detailed in **Attachment** 7, and the current interface requirements detailed in **Attachment 8**. The Lucas County Court of Common Pleas is allowing Offerors great latitude in their selection of technologies; however, the Court of Common Pleas 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 Court of Common Pleas 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 Court of Common Pleas. If the Offeror has experience or preference with specific hardware/software/communications combinations, please describe these installations or requirements.

6.6 Section 6 - Project Management

In proposal Section 6 the successful Offeror will describe its project management plans.

6.6.1 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 communicate and interact with Court of Common Pleas project management.
- How risks and issues will be addressed.

6.6.2 Project Plan

Provide a preliminary project plan that shows the implementation schedule for all system modules, based on implementing Juvenile Court first, before the other divisions of the Court of Common Pleas

and related entities. Later phases will implement the modules in the General Division and the Domestic Relations Division, in no particular order. The table below shows the modules needed by division:

Juvenile Division	General Division	Domestic Relations Division
Court/Clerk	Court/Clerk	Court/Clerk
E-filing	E-filing	E-filing
Supervision (Juvenile Probation)	Supervision (Pretrial-Presentence, Adult Probation)	
Detention (Juvenile Detention, Youth Treatment Center)	Detention (Jail, Work Release, Correctional Treatment Facility)	
Prosecution (Juvenile)	Prosecution (Civil, Criminal)	
	Jury Management	

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 Lucas County Court of Common Pleas.

6.7 Section 7 - Staffing

Proposal Section 7 addresses the Offeror's proposed staffing, as well as any assumptions or needs the Offeror has made regarding capabilities of the Court of Common Pleas' project staff.

6.7.1 Offeror Staffing

Provide resumes of key personnel who will be committed to this project for its duration, including proposed role in the Lucas County ICMS 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 Court of Common Pleas. No "key" staff member may be reassigned or otherwise removed in the first six months of the project without explicit written permission of the Court of Common Pleas' project manager.

Expectations. Lucas County 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 Lucas County 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. Lucas County reserves the right to approve or reject any Offeror staff assigned to the project. If the Offeror's assigned staff is rejected by the Court of Common Pleas,

then the Offeror must assign replacement staff based upon a schedule approved by the Court of Common Pleas' assigned project manager.

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

6.7.2 Court of Common Pleas Staffing

Summarize the Offeror's assumptions about the background, capabilities, number, and type of staff that Lucas County must assign to the project so that Lucas County supports the timeline that the Offeror proposes. The Offeror's proposal must address the Offeror's recommendations for Court of Common Pleas 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.

6.8 Section 8 - Completed Attachments 1 – 7

Vendors are requested to submit Attachments 1-7 as separate electronic files in Microsoft Word format (specifically not PDF), to facilitate distribution to the units of Lucas County that will review vendor responses and review of the proposals.

- **Attachment 1**: Court/ Clerk CMS Capabilities and Scenarios
- **Attachment 2**: E-filing System Capabilities and Scenarios
- **Attachment 3**: Supervision CMS Capabilities and Scenarios
- **Attachment 4:** Jail and Detention Management System Capabilities and Scenarios
- **Attachment 5**: Prosecution CMS Capabilities and Scenarios
- **Attachment 6**: Jury Management System Capabilities and Scenarios
- **Attachment 7**: Solution Platform Non-Functional System Requirements and Scenarios

Attachments 1-6 contain application-specific non-functional requirements. Attachment 7 addresses non-functional requirements at the enterprise level. 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.

Attachments also contain demonstration scenarios related to the business capabilities. An Offeror is not expected to respond to the scenarios in their proposal. Finalists will be asked to demonstrate a selected number of the scenarios during product demonstrations.

<u>Directions for Completing the Tables</u>

"Response Code" column: The Response Code column is broken down into three (3) columns;

- "I" for Included or configurable to satisfy the requirement,
- "C" for Customization if customization is needed to satisfy the requirement, or

- "N" for Not Included.

Place an "X" in the appropriate cell beside the requirement. Every requirement should have an "X" in one of the three (3) columns.
Enter a number in the "Estimated Hours to Customize" column if customization is needed to comply with the requirement.

6.9 Section 9 - Attachment 8: Current Interfaces

Attachment 8 contains a list of interfaces by system, which are mostly exporting data. There is little exchange of data among systems in the county, except the Lucas County Corrections Center JMS. For proposal Section 9 the Offeror should describe its capabilities, methodology and experience to exchange data as identified in Attachments 1-6 in Data Exchange (DE) requirements.

6.10 Section 10 - Data Conversion Information

Attachment 9 contains information available concerning data to be converted from legacy systems. For proposal Section 10 the Offeror should describe its capabilities, methodology, and experience to convert accurately and completely the County's existing case data from the legacy systems. Also describe the Offeror's software tools for data conversion.

6.11 Section 11 - Production System Roll-out and Training

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

Describe the Offeror's web-based training delivery option to include interactive sessions and recorded sessions to be replayed later by the end-users.

6.12 Section 12 - 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

6.13 Cost Proposal

Each Offeror will provide a cost proposal in a sealed envelope **separate from the technical proposal.** See Subsection 4.1 for submission requirements, including Excel format. To enable comparison of cost proposals, an Offeror is requested to clearly present cost data using the following categories, by module (Attachments 1-7):

One-time costs:

Licensing

Project Management

Consulting

Custom Programming/ Software Modifications

Design, Configuration

Data Conversion

Module Integration/ Data Exchanges

Training & Implementation Support

Other Costs (specify if not in previous categories)

Annual Maintenance/ Support/ Upgrade costs (stating when it is first paid)

Maintenance for Year 1

Maintenance for Year 2

Maintenance for Year 3

Maintenance for Year 4

Maintenance for Year 5

Total Cost of Ownership for Five Years (including one-time and continuing costs)

If a pricing scheme is other than the above, an Offeror is requested to clearly present cost data and provide Total Cost of Ownership for Five Years

[End of RFP text]

Signature line

_____

NAME

Title

Attachment 1: Lucas Court/Clerk CMS Capabilities and Scenarios

Section A. Introduction to Case Management System Requirements 1

Section B. Business Capabilities 3

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1.1.1 Search for Persons/ Cases 3

1.1.2 Enter/ Import Case Initiation Data 6

1.1.3 Review Filings 11

1.1.4 Provide Assistance to Filers 12

1.1.5 Appeals 13

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Section A. Introduction to Case Management System Requirements

These requirements for a Court/Clerk case management system (CMS) are based on business capabilities which describe what judicial officers, court and clerk staff do in the course of case management. Business capabilities incorporate the goals and performance objectives of the organization, and are broken down in further detail, in detailed business capabilities.

Business capabilities incorporate the goals and performance objectives of courts and clerks, and are broken down in further detail, in detailed business capabilities. Business rules, process activities, reports/ displays, application capabilities and data needs related to detailed business capabilities follow the numbering scheme of the business capabilities. Vendors are to respond to the requirements in the matrix.

1) Vendor Responses to Matrix of Requirements

The requirements which vendors will respond to are contained in a requirement matrix with the following format:

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
Reference Number	Title of Requirement Description of Requirement **Vendor Response** (written narrative here):				

Legend of Response Codes:

- I = Included
- C = Must Customize to meet requirement – and estimated hours to customize
- N = Not Supported (not willing or able to customize)

The types of requirements below which vendors will respond to will are contained in the formatted table above.

RD Report/ Display Needs	These requirements are called “Report/ Display Needs” because they can be printed on paper or displayed on a screen, at the option of the user. Almost all reports are specified for a given date range with parameters for single or multi-county districts or multiple districts.
AC Application Capabilities	Application capabilities are functions that an application must perform during a business process. Vendors will be required to state whether their jury management solution has an application capability built into it through configuration, or whether it must be customized. Application Capabilities are numbered sequentially in these requirements.
DE Data Exchanges	Data exchanges mean data and document content imported to and exported from the CMS.
DN Data Needs	Data elements required by other requirements are identified as data management needs, such as indicator flags, drop-down lists of values, and other kinds of data used by business rules and for Report/ Display Needs.
TI Technology Infrastructure Needs	Infrastructure needs include requirements related to hardware, systems software, network capabilities and facilities.

These four items associated with a numbered Business Capability will be in free text:

- Business Capability Description
- Business Rules
- Process Activities
- Demonstration Scenarios (following the matrix of requirements)

2) Notable Characteristics of the Court/Clerk Case Management System

Separation of Juvenile Data from Adult Data.

Vendors are notified here of the non-functional requirement that non-Juvenile Court users must have no or limited access to juvenile court data, but may be allowed access as required.

3) Sections of the Court/Clerk CMS RFP

- Business Capabilities and requirements matrix (this document Section B.1-14)
- High-Level Functional and Technical Requirements (this document Section B.15)
- Demonstration Scenarios (this document Sections C to F)
- Existing Interfaces (this document Section G)
- Legacy Data Structures – Attachment 7.

Section B. Business Capabilities

1 Initiate Cases

1.1 Receive Filings

1.1.1 Search for Persons/ Cases

Business Capability Description

Search for persons/ cases when initiating a new case, and for property that is directly or indirectly the subject of the case.

Business Rules

BR 1.1.1-01 Case Categories, Case Subcategories and Case Types

Statistical Reporting Requirements for courts of common pleas are defined by the Supreme Court of Ohio, in "Instructions for Preparation of All Report Forms" and associated forms found at: http://www.supremecourt.ohio.gov/JCS/casemng/statisticalReporting/

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1.1-01	Person Search Results Display Display case and person search results using one or more of the data fields below, and filter search results by sortable fields in ascending or descending order: 1. Municipal Court Case Number 2. Last Name, First Name, Middle Initial, Suffix 3. Alias Name(s) 4. DOB 5. SSN 6. Regional ID (RID) Number 7. FBI Number 8. Height 9. Weight 10. Hair Color 11. Eye Color 12. Sex 13. Race/ Ethnicity 14. Address (including address history) 15. Phone 16. Investigating Agency 17. Record Bureau Number 18. Type of Filing 19. Charges (Revised Code, Charge Description, Felony Degree, Offense Date Range Charge Applies to, ITN Number) 20. Date of Court Case Initiation 21. Case Type: Offense Class: (Dropdown: list of values). 22. Case Status: (Dropdown: Open, Closed, Warrant), default to Open 23. Date of Disposition, if applicable **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1.1-02	Case, Person and Organization Search Results Display Using Case, Person and Organization Search Parameters, display the following data fields: 1. Case Identifier 2. Case Caption/ Title 3. Case Status Indicator (Dropdown: (Dropdown: Closed, Open, Post-Disposition) 4. Case Category (See NCSC State Court Guide to Statistical Reporting v2) 5. Case Subcategory (See NCSC State Court Guide to Statistical Reporting v2) 6. Case Type (see **BR 1.1.1-01 Case Type Definitions**) 7. Party Type (Dropdown: Plaintiff, Defendant, Petitioner, Respondent, Cross-Claim Plaintiff, Cross-Claim Defendant, Third-Party Claimant, Non-Party Filer, Plaintiff Appellant, Defendant Appellant, Plaintiff Appellee, Defendant Appellee, Intervening Plaintiff, Intervening Defendant) 8. Party Name (Last Name, First Name, Middle Name, Suffix) 9. Party Address (Type Dropdown: Mail, Residence, Legal)) 10. Party E-mail Address (Type Dropdown: Home, Cell, Work 1, Work 2, Other), Primary checkbox 11. Party Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), and Primary checkbox 12. Party Organization Name 13. Party Organization Type (Dropdown: agency, board, corporation, partnership, DBA (individuals “doing business as” an unincorporated company) 14. Party Contact Person (Last Name, First Name, Middle Name, Suffix) 15. Party Contact Person Role (Dropdown values by entity type below) a. For government entity, elected official, board member, employee b. For corporation, registered agent, officer, employee c. For partnerships, partner, employee; For DBA, owner, employee d. For civil cases: party, victim, witness, attorney, social worker 16. Lead Filing Party Name (Bar #, Last Name, First Name, Middle Name, Suffix) 17. Opposing Counsel Name (Bar #, Last Name, First Name, Middle Name, Suffix) **Vendor Response (written narrative here):**				
AC 1.1.1-01	Search Using Person and Case Attributes Search case and person information shown in **RD 1.1-01 Person and Case Search Results Display**. **Vendor Response (written narrative here):**				
AC 1.1.1-02	Download Search Results Download results of searches into csv file, Excel or other pre-defined format. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.1.1-03	Search Using Other Methods 1. Show Probability of Same Name Search Results Display probability that the name searched matches names returned, based on the likelihood of valid identification (Dropdown: fingerprints, alias match, demographics match, mug shot available), placing the highest probability matches at the top of the search list, to avoid creation of duplicate records for individuals 2. Score possible matches is based on results of search criteria. The persons with the highest score will appear first in the list. The scoring criteria are table-based and can be changed by the system administrator to fine tune the results. For example Exact surname match – 100 Partial surname match - 30 Exact first name match – 50 Partial first name match – 15 Exact date of birth match – 60 Exact day and exact month - 10 3. Search data using wild card characters and Boolean operators (e.g., and, or, not). 4. Search names on various combinations of person name (e.g., full name, last name only, part of first or last name, abbreviation of a proper name (e.g., Liz or Beth for Elizabeth)), hyphenated name, "street/gang" name, or alias name and type of alias. 5. Search data using wild card characters and Boolean operators (e.g., and, or, not). 6. Search using all or part of person identifiers (e.g., partial DL number) 7. Support phonetic and other complex (multi-field) algorithms for matching identities to avoid creation of duplicate records for individuals. 8. Search for cases using the person address field. 9. Specify a combination of name component and physical descriptor. 10. When a Date of Birth has been specified, enable a user to specify that an exact match to the specified Date of Birth is to be found. 11. When a Date of Birth has been specified, enable a user to specify that persons having similar birth dates are to be returned (e.g., same month, same day, same year). 12. Perform a name search by specifying a full last name and partial first name 13. Partial Field Searches Search based on partial information, Dropdown: a partial driver license, license plate, VIN number, citation number, summons number. 14. Wild Card and Boolean Searches Search data using wild card characters and Boolean operators (Dropdown: and, or, not). 15. Magnetic Stripe or Bar Code Search Conduct a search by swiping a driver's license or other form of ID with a magnetic stripe or bar code. 16. Hispanic and Native American Names Permit searching of Hispanic and Native American names, using special approaches to deal with differences in these names **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.1.1-04	Identify Linked Cases/ Matters Enable the user to view Related, Associated and Consolidated cases as defined in the business rules of this Business Capability. **Vendor Response (written narrative here):**				
AC 1.1.1-05	Search Cases Using Person, Organization and Case-Related Fields Search civil matters/ cases using person, organization and matter/ case information shown in RD 1.2-01 Civil Matter/ Case, Person and Organization Search Results Display. **Vendor Response (written narrative here):**				
DN 1.1.1-2	Property Information Case types involving property that is directly or indirectly the subject of case include law, chancery, dissolution, eminent domain, decedent estates, guardianship, and tax. There may be multiple occurrences of property information per case. The following data fields are needed (in addition to case-reference data): a. Property type code (real estate, tangible personal property, intangible personal property) b. Estimated value c. Appraisal amount d. Location/description of property e. Narrative **Vendor Response (written narrative here):**				
TI 1.1.1	Magnetic Stripe or Bar Code Reader Hardware enabling a search by swiping a driver's license or other form of ID with a magnetic stripe or bar code. **Vendor Response (written narrative here):**				

1.1.2 Enter/ Import Case Initiation Data

Business Capability Description

Cases may be manually filed or electronically filed. For cases electronically filed, case initiation data automatically populates a case. Cases allowed to be filed using paper require keyboard-entry of case data from an input document. Courts of Common Pleas have all of the case types for general jurisdiction trial courts identified in the NCSC State Court Guide to Statistical Reporting v2 (except probate, parking and local ordinances). See http://www.courtstatistics.org/~/media/Microsites/Files/CSP/State%20Court%20Guide%20to%20Statistical%20Reporting%20v%202.ashx

Auxiliary case types include the following which require case management capabilities:

A. Civil Mediations (any civil case can be referred to mediation, plus civil protection orders)
B. Foreclosure Mediations
C. Juvenile Mediations

D. Drug court cases (see **9.8 Supervise Treatment of Defendants in Problem-Solving Courts**)
E. Court Counseling cases
F. Domestic Violence Resource Center Assistance

Business Rules

BR 1.1.2-01 Case Categories, Case Subcategories and Case Types

Statistical Reporting Requirements for courts of common pleas are defined by the Supreme Court of Ohio, in "Instructions for Preparation of All Report Forms" and associated forms found at: http://www.supremecourt.ohio.gov/JCS/casemng/statisticalReporting/

BR 1.1.2-02 Case Information Sheet (Cover Sheet)

Court policy requires filing of a Certificate of Attorney for civil, family and juvenile cases – forms on the website

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1.2	Cases Filed For a date range, by case type, a summary of the numbers of cases filed, and list of the cases. **Vendor Response (written narrative here):**				
AC 1.1.2-01	E-filing Allow litigants to file documents electronically, both initial and subsequent filings, by using an internet-based form creation process, or by uploading a PDF document to initiate a case; and pay a filing fee online – see **7.2 Accept Payment for Financial Obligations and Reconcile Receipts**. **Vendor Response (written narrative here):**				
AC 1.1.2-02	Personal Computing Devices Allow attorneys and court personnel to access court information and submit documents (e.g., proposed orders) via personal computing devices (e.g., laptops, tablets). **Vendor Response (written narrative here):**				
AC 1.1.2-03	Electronic Capture of Information from Litigants Provide a web portal (for use at the courthouse or remotely) or kiosk through which litigants/ defendants can complete current paper forms electronically. Documents completed in this matter will be filed in the electronic case file. **Vendor Response (written narrative here):**				
AC 1.1.2-04	Paper Filings - Customization by Case Type Provide individualized entry screens and business process logic for each case type. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.1.2-05	Keyboard Shortcuts and Dropdown Menus Provide keyboard shortcuts and dropdown menus to find/enter all available selections. **Vendor Response (written narrative here):**				
AC 1.1.2-06	Relevant Code Table Values Display only relevant/available code table values on data entry screens, appropriate to case type and event type. For example, criminal codes will not be displayed when working on a civil case; pre-disposition codes will not be displayed when a case is in post-disposition status.				
AC 1.1.2-07	Immediate Scanning of Submitted Documents Enable scanning and OCR processing of paper filings at the time documents are filed. **Vendor Response (written narrative here):**				
AC 1.1.2-08	Non-Electronic Filing Parties Identify parties who have received authorization to submit documents to the Clerk of the Court for filing by non-electronic means. See **1.1.2-8 Non-Electronic Filing Party Flag** **Vendor Response (written narrative here):**				
AC 1.1.2-09	Zip Code Lookup Entry of a zip code populates the city and state fields during data entry. **Vendor Response (written narrative here):**				
AC 1.1.2-10	Address Lookup Validate addresses within the county against a master street index. **Vendor Response (written narrative here):**				
AC 1.1.2-11	Capture Frequent Filer Information Record and maintain frequent filers and attorneys as “favorites” to reduce data entry time. **Vendor Response (written narrative here):**				
AC 1.1.2-12	User-Controllable Default Values Define default values for all data entry screens and maintain that information for each transaction until the values are changed by the user. This allows a batch of new cases to be entered with minimal keystrokes. **Vendor Response (written narrative here):**				
AC 1.1.2-13	Filed Document Metadata Enable the document to be marked by the filer via case information sheet (paper filing or uploaded PDF document) or XML tag (e-filing) with a document category and document type (choice of document type is constrained by document category). See **RP 1.1.2-3 Document Category Examples**. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.1.2-14	Configuration of Data Entry Fields Enable configuring each data field with the following, which may vary by case-type: a. Screen label b. Mouse-over text tip c. Security level d. Default value **Vendor Response (written narrative here):**				
AC 1.1.2-15	Real and Personal Property as Case Party Allow cases that may not have a human subject in certain case types, such as vehicles, addresses in civil forfeiture cases, and items of personal property. **Vendor Response (written narrative here):**				
AC 1.1.2-16	Case Caption Enable configuring of a case caption format for each case-type initiated (e.g. [plaintiff last name] v. [defendant last name], In re: [juvenile initials], The People of Illinois v. [defendant full name]): For calendar purposes and juvenile type cases, initials (only) are displayed. See **RP 1.1.2-1 Style/ Caption of the Case** and **RP 1.1.2-2 Caption in Sealed/ Impounded Cases** **Vendor Response (written narrative here):**				
AC 1.1.2-17	Multiple Case Opening Allow the user to open multiple cases at one time and easily move between the open cases (e.g., via tabs). Allow the user to open multiple cases at one time and easily move between the open cases (e.g., via tabs). **Vendor Response (written narrative here):**				
AC 1.1.2-18	Certain case types have a distinctive case name ("style" or caption) that is related to who is involved in the case. a. The style/caption of a case with many parties should include only the first named party on each side, such as "Smith et al. vs. Jones et al.", where the Latin "et al." stands for "and others". b. Juvenile cases, as part of limiting exposure of delinquent and dependent children, may use the style "JQD, a Minor". Juvenile delinquency cases name a juvenile as a respondent. Dependency cases may have more than one minor named with initials. **Vendor Response (written narrative here):**				
DE 1.1.2-01	Address Validation via Geographic Information System Data exchange with county Geographic Information System to validate an address **Vendor Response (written narrative here):**				
DN 1.1.2-01	Case Categories and Subcategories Drop-down lists of case categories, case subcategories and case types. See **BR 1.1.2-01 Case Categories, Case Subcategories and Case Types**. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 1.1.2-02	Non-Electronic Filing Party Flag This flag is turned on for parties who have received authorization to submit documents to the Clerk of the Court for filing by non-electronic means, and must be served non-electronically. **Vendor Response (written narrative here):**				
DN 1.1.2-03	Set up case type: Civil Mediations (any civil case can be referred to mediation, plus civil protection orders) with the following elements: 1. Participants – subjects of the case that are the focus of actions performed in the context of the case; individual knowledge workers who create, distribute and apply knowledge toward the goal of bringing the case to conclusion; entities involved 2. Data used to initiate and update the case 3. Status of the case and participants 4. Event log of past events in the case 5. Documents associated with events in the log 6. Future scheduled events and a means to schedule and tickle them 7. Financial information associated with the case, if applicable 8. Private notes of case owners 9. Document generation using case data 10. Reporting **Vendor Response (written narrative here):**				
DN 1.1.2-04	Set up case type: Foreclosure Mediations. Use the same case elements as **DN 1.1.2-03.** **Vendor Response (written narrative here):**				
DN 1.1.2-05	Set up case type: Juvenile Mediations. Use the same case elements as **DN 1.1.2-03.** **Vendor Response (written narrative here):**				
DN 1.1.2-06	Set up case type: Problem-Solving Court cases (see **10.8 Supervise Treatment of Defendants in Problem-Solving Courts**). Use the same case elements as **DN 1.1.2-03.** **Element of Case** / **Participation in Drug Court** 1. Participants in case — 1. Criminal offender, judge, court coordinator, case worker, probation officer, probation service providers, attorney 2. Data used to initiate and update the case — 2. Criminal offender name and demographics, results of screenings and assessments, including history of drug use, risk factors, criminal history, health and mental health factors, impairments or disabilities, family factors, living environment, employment, education, financial resources 3. Status of case and participants — 3. Type of Court, Initiated, Active, Inactive, Graduated, Terminated, Interpreter needed, Tracks, Phases of tracks				

Req. #	Requirement		Response Code			Estimated Hours to Customize
			I	C	N	
	4. Event log of past events in the case	4. Events associated with case status: Acceptance or rejection of the defendant into the program, reason for rejection, staffings held and participants, referrals for services and programs, results of substance abuse testing, supervision contacts, results of drug court proceeding				
	5. Documents associated with events in the log	5. Referral court order, releases executed by participants, treatment plans, supervision case plans, conditions of participation, progress reports from service providers, probation reports, completions on referrals				
	6. Scheduled events in the case	6. Staffing dates, appointments				
	7. Financial information	7. Payment of court and treatment obligations				
	8. Private notes of case owners	8. Administrative notes				
	9. Document generation using case information	9. Notices, warrants, correspondence, graduation certificate				
	10. Reporting	10. Number and demographics of defendants participating during reporting period; recidivism/success rate				
	Vendor Response (written narrative here):					
DN 1.1.2-07	Set up case type: Court Counseling cases. Use the same case elements as **DN 1.1.2-06.** **Vendor Response (written narrative here):**					
DN 1.1.2-08	Set up case type: Domestic Violence Resource Center Assistance. Use the same case elements as **DN 1.1.2-06.** **Vendor Response (written narrative here):**					

1.1.3 Review Filings

Business Capability Description

Review a filing and accept it with acknowledgment or reject it with message

Business Rules

BR 1.1.3 Reasons for Rejection of Filing

Court policy may specify reasons for a clerk's rejection of a filing.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1.3-01	Cases Initiated For a date range, a list of cases initiated, sortable by case number, case type/subtype **Vendor Response (written narrative here):**				
RD 1.1.3-02	Cases Being Initiated but Not Completed This report/ display identifies cases for which an initiating filing has been rejected or is otherwise a work in progress. **Vendor Response (written narrative here):**				
AC 1.1.3-01	Generate receipt or notification for appropriate attorneys, parties, and participants that case filing was received and accepted, and give them assigned case number (notice, including electronic acknowledgment, would apply primarily when a case is transferred from another location or filed electronically). **Vendor Response (written narrative here):**				

1.1.4 Provide Assistance to Filers

Business Capability Description

Courts/ clerks provide court forms, customer service FAQ's, instructions, and tutorials. Providing self-service opportunities enables customers to help themselves.

Business Rules

BR 1.1.4 Information for Filers

Court policy may provide what information is available to filers, and available on either the Court's website or the Clerk's website.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1.4-01	Information Displays on Court/ Clerk Website(s) **Vendor Response (written narrative here):**				
AC 1.1.4-01	Provide a help system that adequately provides tutorial and documentation for filers and internal users. **Vendor Response (written narrative here):**				
AC 1.1.4-02	Help Feedback Channel Provide a feedback channel for alerting system administrators of performance issues or other problems **Vendor Response (written narrative here):**				
AC 1.1.4-03	Online Forms Provide fillable PDF forms and Internet-based form creation process – see **1.2 Issue Documents.** **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.1.4-04	Online Request for Participation in Court Programs and Other Services Provide a web-based application that is linked to the court web site for parties/ defendants to indicate their intent to sign up for programs and other services offered by the court, e.g., the Protection Order, Counseling, Civil Mediation, classes. **Vendor Response (written narrative here):**				

1.1.5 Appeals

Business Capability Description

Courts receive notice that a decision of the court is being appealed (i.e., district court of appeal, Supreme Court), and prepare a record on appeal to transmit to the appellate court.

Business Rules

Generally see Supreme Court Appeals Rules, for legal deadlines

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1.5-01	Cases on Appeal Report For a date range, the cases on appeal, in case number or appellee name order, showing case number, appellee, status of appeal, date notice of appeal filed, date of mandate. **Vendor Response (written narrative here):**				
AC 1.1.5-01	Deadlines for Transcript Record deadlines to produce the transcript of record for an appealed case, and turn on an alert if the deadlines are passed. **Vendor Response (written narrative here):**				
AC 1.1.5-02	Transcript of Court Record Compile court records including documents into one PDF file, with table of contents and Bates numbering. **Vendor Response (written narrative here):**				
AC 1.1.5-03	Record Appeals Activities Record all activity and generate all necessary documents associated with an appeal, e.g., notice of appeal in Register of Actions, receipt filing fee, ticklers for compiling transcript, outcome, reports. **Vendor Response (written narrative here):**				
AC 1.1.5-04	Appellate Case Number Store the appellate case number in a way that it can be searched for. **Vendor Response (written narrative here):**				

1.2 Issue Documents

Business Capability Description

Courts generate and issue a variety of kinds of documents (also see **6.11 Produce Documents with Results of Hearing**). Clerks issue documents (e.g., subpoenas, summons) at the request of parties at initiation of a case. Also see **10.3.1 Issue Writs**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.5-01	Document Template List Report This is a list of document templates with date of last update, version number **Vendor Response (written narrative here):**				
AC 1.5-01	Document Generation Generate documents by merging case management system data with word processing templates. **Vendor Response (written narrative here):**				
AC 1.5-02	Template Maintenance Add, modify, and otherwise maintain the templates and boilerplate language required to support the document generation capability. **Vendor Response (written narrative here):**				
AC 1.5-03	E-Mail Messages Generate e-mail notifications (e.g., receipt of document) according to business rules governing the process. **Vendor Response (written narrative here):**				
AC 1.5-04	SMS Text Messages Generate SMS text notifications according to business rules governing the process (i.e., with permission of the recipient). **Vendor Response (written narrative here):**				
DN 1.5-01	Document Template Table This table contains document templates by court division or clerk function, with template name, date of last update, version number. **Vendor Response (written narrative here):**				
DE 1.2	Issue Summons Notification This data exchange with the Sheriff's records management system notifies the Sheriff's office that a civil party chooses the Sheriff's office to serve the summons, and includes the following data and attachments: summons data, complaint data, exhibit attachments, and, key elements such as case number, unique party identifiers, paper number. **Vendor Response (written narrative here):**				

1.3 Link Cases

Business Capability Description

Courts link cases for reference or administrative purposes, i.e., see what cases are linked to other cases, identified for scheduling hearings for different cases at the same time. "Linking" cases has three different situations: related, associated and consolidated cases.

Business Rules

BR 1.3-01 Related (Traveling-With, Companion) Cases

Court policy identifies **<Related Cases>** as case involving a single party (same defendant) which the judicial officer wants in court at the same time, without consolidation.

BR 1.3-02 Associated (Co-Defendant) Cases

Court policy identifies <**Associated Cases>** as case involving co-defendants from the same offense or incident, separate criminal cases filed for each defendant. The prosecutor is prosecuting them in separate trials.

BR 1.3-03 Consolidated (Merged) Cases

Court policy identifies <**Consolidated Cases>** as cases involving the same parties and issues, unifying them into a single action resulting in a single judgment or, sometimes, in separate judgments.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.3-01	Display Linked Cases When a case is retrieved, display cases which are related, associated or linked with it. **Vendor Response (written narrative here):**				
AC 1.3-01	Related Cases Select cases involving a single party for linking as related cases. **Vendor Response (written narrative here):**				
AC 1.3-02	Associated Cases Select cases involving co-defendants from the same offense or incident for linking as associated cases. **Vendor Response (written narrative here):**				
AC 1.3-03	Consolidated Cases Select cases involving the same parties and issues, unifying them into a single action as consolidated cases, including all financial information. **Vendor Response (written narrative here):**				
AC 1.3-04	Associated but Confidential Cases Associate juvenile or order of protection cases that are connected to the same respondent or children, allowing access to view linked cases only judicial officer and court administrative staff (which would otherwise disclose confidential information). **Vendor Response (written narrative here):**				
AC 1.3-05	Single Data Entry in Multiple Linked Cases Enable initial and subsequent entries to be applied to each case, defendant, party, or participant in the linked relationship, with a single entry. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.3-06	Unlink Cases Enable related, associated and consolidated cases to be unlinked on demand, including all financial information. **Vendor Response (written narrative here):**				

2 Maintain Parties and Participants

2.1 Maintain Party/ Participant Data

Business Capability Description

Enable entry and updating of information for parties and participants, including addresses, demographics, contact info, interpreter needed, organizational affiliation – and a history of information entries. Parties may be a person or an organization such as a business entity. Personal and real property may be named as a party in a case (e.g., "People of the State of Illinois vs. 1994 Lexus SC400)" in civil forfeiture cases.

Business Rules

BR 2.1 Criteria to Merge/ Un-Merge Names

Court policy may provide the criteria for merging person records

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.1-01	Person Data Display 1. For a person, show the following data fields, with the most current entry at the top of each list: a. Name (Last Name, First Name, Middle Name, Suffix) b. Address (Type Dropdown: Mail, Residence, Legal), Date Entered) c. E-mail Address (Type Dropdown: Home, Cell, Work 1, Work 2, Other), Date Entered, Primary checkbox d. Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), Date Entered, and Primary checkbox e. Restricted Participant Flag Y/N (example: child victim) f. Confidential Address Flag Y/N (example: location of a battered women's shelter) g. Electronic Filing Party Case Flag 2. Display current Address first, then addresses in address history. 3. Display all individuals with the same Address, Email Address or Phone Number. 4. Display all Case Numbers with the Party ID attached. **Vendor Response (written narrative here):**				
RD 2.1-02	Organization Data Display 1. For an organization, show the following data fields, with the most current entry at the top of each list: a. Organization Name b. Organization Type (dropdown: corporation, partnership, DBA (individuals "doing Organization as" an unincorporated company)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	c. Contact Person (Last Name, First Name, Middle Name, Suffix) d. Contact Person e. Role (dropdown: For corporation, registered agent, officer, employee; For partnerships, partner, employee; For DBA, owner, employee) f. Address (Type Dropdown: Mail, Legal), Date Entered) g. Email Address (Dropdown: Home, Cell, Work 1, Work 2, Other), Date Entered, Primary checkbox h. Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), Date Entered, and Primary checkbox i. Comment (optional reference number to print on the check) j. Electronic Filing Party Case Flag 2. Display current Address first, then addresses in address history. 3. Display all individuals with the same Address, Email Address or Phone Number. 4. Display all Case Numbers with the Party ID attached. **Vendor Response (written narrative here):**				
RD 2.1-03	Configuration of a Detailed Party/ Participant Screen Enable configuration of a detailed party/ participant screen for displaying a person's multiple occurrences of personal information with date/ time stamp: a. Case roles and case numbers b. Amounts owed: Running total of fines, court costs, and community service. This applies for the running total of all civil monies owed. c. Arrest warrants d. Bail posted and case numbers e. Probation status and supervising officer f. Custody status, location, and place of residence g. Person-based alerts h. Aliases i. Addresses j. Cell/ landline numbers k. Personal identifiers l. E-mail address(es) m. Electronic Filing Party Case Flag **Vendor Response (written narrative here):**				
RD 2.1-04	Configuration of Domestic Relations-Specific Screens Enable configuration of a detailed party/ participant screen for displaying the following data fields for Domestic Relations cases: a. Add/Modify Personal Data: Married Status, Maiden Name, Paternity Established, Handicapped, SETS: Support Enforcement Tracking System number, Emancipated Actual/ Expected b. Add/Modify Employment: Employer Organization (see **RD 2.1-02 Organization Data Display**), Start/Stop dates, Address, Self-employed, Vested, Financial Organization (see **RD 2.1-02 Organization Data Display**), Bank Account #, Reason for Leaving, for each job: Start/Stop Dates, Job Description, Full/Part, Hours, Annual Net/ Gross, Other Gross and Net, Description of Other Income				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	c. Add/Modify Medical History: Medical Organization (see **RD 2.1-02 Organization Data Display**), Treatment Start/ Stop Dates, Doctor Name, Practice, Diagnosis d. Add/Modify Health Care History: Start/Stop Dates, Insurance Company ID and name (see **RD 2.1-02 Organization Data Display**), Plan Type, Policy #, Group # e. Add/Modify Education: School (see **RD 2.1-02 Organization Data Display**), School ID, School Name, Start/Stop Dates, Number Years Attended, Last Grade Completed, Graduation Date, Degree f. Former Marriages/ Children: Former Spouse, Divorced Date, Support Type, Amount, Duration in Months, Note, Children (Sex, Age, Emancipated, SSN, Support) **Vendor Response (written narrative here):**				
RD 2.1-05	Party/ Participant Address History Report For a date range, display a list of the addresses and associated dates of a party/ participant. **Vendor Response (written narrative here):**				
AC 2.1-01	Update Person and Organization Information For a person or organization, enable the user to update any information and add data to history of the record (e.g., alias, address, phone, email), with date/ time of update and user ID. **Vendor Response (written narrative here):**				
AC 2.1-02	Merge and Un-Merge Person Records Enable identification and merger of multiple person records for the same individual, and to un-merge them if an error is discovered – see **BR 2.1-1 Criteria to Merge/ Un-Merge Names.** **Vendor Response (written narrative here):**				
AC 2.1-03	Participant Roles Enable configuring any number of participant roles (e.g. attorney, case worker, guardian ad item, child representative, interpreter) and relationships (e.g. attorney/client, mother/child, caseworker/client, receiver, court-appointed special advocates (CASA)), which may be assigned to participants in the case records. **Vendor Response (written narrative here):**				
AC 2.1-04	Attorney/ Firm Self-Service Information Update Enable private attorneys to notify the Clerk when an attorney's name, address or firm affiliation has changed, and when a firm's name, address, or contact information has changed. **Vendor Response (written narrative here):**				
AC 2.1-05	History of Party/ Participant Relationships Maintains a history of parties/ participants, their roles, and their relationships in each case. This creates links that can be followed for system actions, i.e., providing an attorney mailing address for a system-generated document for a				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	particular party. **Vendor Response (written narrative here):**				
AC 2.1-06	Flag Invalid and Confidential Addresses Flag an address for such persons as juveniles and victims with a status of confidential (e.g., permanent, designated date to expire), or address no longer valid. **Vendor Response (written narrative here):**				
AC 2.1-08	Mass Attorney Reassignment Perform mass reassignment of attorney caseload by updating the attorney of record or by assigning cases to an office (e.g., public defender) on a single screen or in a single transaction. **Vendor Response (written narrative here):**				
AC 2.1-09	Block Mail to Ineligible Attorney If an attorney is suspended or disbarred, option to block sending of notices, and send them to parties or substitute counsel instead. **Vendor Response (written narrative here):**				
AC 2.1-10	Mail to Multiple Addresses of Party Ability to send a notice for a single party to multiple addresses. **Vendor Response (written narrative here):**				
AC 2.1-11	Language Interpretation Needs Manually enter data that a party needs an interpreter, and the language involved, by turning on **DN 2.1-8 Interpreter Needed Flag** and automatically turn on an alert – see **RP 1.3.2-1 (j) Person-Level Status Alert Examples - Interpreter Needed**. Same as Application Capability under **6.9 Provide Language Interpretation**. **Vendor Response (written narrative here):**				
AC 2.1-12	Index External Agency Numbers Record all numbers used by external organizations (e.g., jail, prosecutor, law enforcement) so that cases can be retrieved with those numbers. **Vendor Response (written narrative here):**				
AC 2.1-13	Handle Invalid Addresses System must block mailings to invalid addresses, but allow overrides. **Vendor Response (written narrative here):**				
AC 2.1-14	Organizations as Parties in a Case Enter the name of an organization as a party, e.g., corporations, partnerships, DBAs (individuals “doing business as” an unincorporated company), and units of government. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.1-15	Party Search of Persons Affiliated with an Organization-Party Associate one or more persons with an organization, enabling a party search to return the names of persons involved in the case, including the following: • For corporation, registered agent, officers and employees • For partnerships, partners and employees • For DBAs, owners and employees • For units of government, officials and employees **Vendor Response (written narrative here):**				
AC 2.1-16	Identify Real and Personal Property as Case Party Enter an item of real or personal property as a party. In drug cases where the law allows the county to seize property used or involved in the crime, the county can file a civil forfeiture case with the case name, for example, "People of the State of Illinois vs. 1994 Lexus SC400." Property that may be forfeited includes cars, houses, and airplanes. **Vendor Response (written narrative here):**				
AC 2.1-17	Bonding Company Information Accept information about bonding companies and their attorneys. **Vendor Response (written narrative here):**				
DE 2.1-1	Attorney Information Update Notification This data exchange sends attorney information updates from the state bar's attorney management system to the Clerk, when an attorney's name has changed or his/her status has become inactive along with the reason for the inactivation; or a firm's name, address, or phone number has changed; or the firm's status has become inactive. **Vendor Response (written narrative here):**				
DE 2.1-2	Defendant Information Update Notification This data exchange sends attorney information updates from the Prosecution's case management system to the Clerk, when a defendant's address has changes, including the defendant's new address, and identifying descriptions including FBI and SID numbers. **Vendor Response (written narrative here):**				
DN 2.1-01	Structured Name Fields Provide discrete fields for first name, last name, middle initial, suffix (i.e., Sr., Jr., III), and title; hyphenated Hispanic patronymic and matronymic surnames, aliases (AKAs), doing business as (DBAs), and corporate names **Vendor Response (written narrative here):**				
DN 2.1-02	Formatted Vehicle and Party Information Provide data storage for formatted information about vehicles and property, just as it does for people associated with cases. These descriptions should be separate from the case structure so they can be associated with multiple cases. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 2.1-03	Multiple Telephone Numbers Enter and maintain multiple phone numbers and extensions for an individual and link those numbers to a location (address), and include numbers that may not be associated with an address. **Vendor Response (written narrative here):**				
DN 2.1-04	Telephone Number Types Specify telephone number types and mark primary contact numbers. **Vendor Response (written narrative here):**				
DN 2.1-05	Interpreter Needed Flag (Limited English Proficiency) The default value of this data field is 'off' (English proficient) for a party and is updated (turned 'On') when the judicial officer orders an interpreter to be used to communicate with a party. **Vendor Response (written narrative here):**				
DN 2.1-06	Interpreter Needed for Language This list of languages is used as a drop-down list for the clerk to select the language a party needs interpretation for. **Vendor Response (written narrative here):**				
DN 2.1-07	Electronic Filing Party Case Flag The default value of this data field is 'off' (Non-Electronic Filing) for a party and is updated (turned 'On') when a party files electronically in a case. **Vendor Response (written narrative here):**				
DN 2.1-08	Restricted Participant Flag The default value of this data field is 'off' (Non-Restricted Participant) for a party and is updated (turned 'On') when a participant in a case is identified as needing restricted access (e.g., child victim). **Vendor Response (written narrative here):**				
DN 2.1-09	Confidential Address Flag The default value of this data field is 'off' (Non-Confidential Address) for a party or participant and is updated (turned 'On') when a party or participant in a case needs restricted access to their address (e.g., location of a battered women's shelter). **Vendor Response (written narrative here):**				

2.2 Maintain Roles and Relationships between Parties, Participants and Cases

Business Capability Description

Maintain relationships of judicial officers to cases (see **2.3 Assign Cases to Judicial Officers**), staff to judicial officers, attorneys to cases (see **2.4 Record Counsel Participation in Cases**), attorneys to case events, attorneys to law firms, and parties and participants to one another.

Business Rules

BR 2.2 Notice of Attorney's Disassociation from Law Firm

Court policy may require an attorney to file notice with the court that the attorney is no longer associated with a law firm as of a certain date; and is now associated with another law firm/ limited liability company (LLC) organization.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2-01	Party-Participant Relationship Report For a given case in which a person is a party or participant, display the other parties and participants. **Vendor Response (written narrative here):**				
AC 2.2-01	Link Parties and Participants to Each Other Link parties and participants, naming the role, e.g., receiver, expert witness/ party, father/ child, mother/ child, child/ sibling, court-appointed special advocate (CASA)/ child. **Vendor Response (written narrative here):**				
AC 2.2-02	Link Participants to Cases Link participants to cases, e.g., guardians ad litem, social workers, investigators **Vendor Response (written narrative here):**				
AC 2.2-03	Link Attorneys to Law Firms Link attorneys to law firms, and date of disassociation from the law firm, if any. **Vendor Response (written narrative here):**				
AC 2.2-04	Juvenile Case Level Security Assign staff and parents to juvenile case security level. **Vendor Response (written narrative here):**				

2.3 Assign Cases to Judicial Officers

Business Capability Description

Assign individual cases to judicial officers (judges and magistrates) by case type, maintaining equality of judicial workload among judicial officers handling a certain case type or within a given division. Judicial officers in each division should have an equal caseload without regard to how quickly or how slowly they dispose of cases.

A. The practical goal of random case assignment is to prevent "judge shopping" and to make assignment of a judge to a case unpredictable to a party filing a case.
B. The effect of assignment will be non-transparent to the clerk who requests case assignment from the system and, from a practical perspective, to any observer who may attempt to track case assignments of cases. This lack of transparency into the assignment process produces unpredictability to an observer and constitutes randomness. The lack of transparency also requires the means to verify the even distribution of cases under the rules by means of a report. (See E. below)
C. Handle recusal/disqualification from cases by a judicial officer in a way to maintain random, fair and equitable distribution of the cases. A case transferred to another judicial officer will

be replaced from the assignment pool to maintain parity of caseload, and a judicial officer receiving a case will receive "credit" for each case transferred to the judicial officer.

D. Handle exchange of cases between judicial officers based on previous cases with a party or other reasons of judicial economy.
E. Display or print, at any time, for any time period, the assignment of cases and the cases "owed" to each judicial officer because of recusal/disqualification, by judicial officer, or for all judicial officers – as a means of verifying the random, fair and equitable distribution of the cases

Business Rules Applicable to Case Assignment

The business rules of case assignment of judicial officers include the following:

BR 2.3-01 General Rules Applicable to Assigning All Case Types

1. Creation of assignment pools based on case type. Assignment pool must have the ability to create different "pools" based on any case's case type. Case type may not contained in the case number, and case type is not the filing type. Case type is an attribute of each case that allows the user to categorize cases. For example: There are two different case types that share a case category (i.e. their case number both is "CI") and filing type (i.e. they are both "H" filing types) one case type is "Civil" and the other has a case type of "Civil Protection Order." The CMS must be able to create assignment pools based on case type. It would be of additional use (though this is not how the pool currently functions) if a Assignment pool could be created on either Case Type, Case Category, Filing Type, or any combination of the three.
2. Roll-over of assignment pool when pool maximums reached. Assignment pool must have the ability to assign specific judicial officers to each pool and indicate the maximum number of cases each judicial officer shall receive before the pool rolls over.
3. Associate case subcategories with judicial officers. Assignment pool needs ability to associate a "subcategory" OPTION to each judicial officer within a pool. This subcategory is designated when a case is initiated. When a case is created and RANDOMLY assigned a judicial officer, the pool will first look at the Case Type (as indicated in step 1) and then check the subcategory field. If the subcategory field is populated on the CASE it will ONLY pull a judicial officer (randomly) that has been flagged in the Pool with that subcategory AND it will randomly pull first from the judicial officers who have the LOWEST number of cases received in that pool. The Assignment pool must have the ability to associate not just one "sub-categories" but MULTIPLE sub-categories to each judicial officer within that pool.
4. "Variable" Option for a judicial officer to exceed a pool maximum. Assignment pool needs an OPTION to set a "variable" parameter. Each judicial officer in a specific assignment pool shall have an option as to whether their pool total (the total number of cases they shall receive) is "variable." The pool "variable" option can be associated to the case type, or the "variable" option can be associated to any of the subcategories within that case type pool. By means of the "variable" option, the Court can determine at a case type level whether judicial officers are allowed to exceed the case type max in the pool, OR whether only cases of that type which ALSO have a designated "subcategory" can exceed the pool. If the judicial officer's variable option is marked, a judicial officer can EXCEED the maximum number of pool cases to be assigned. In other words, if the judicial officer is set to receive two cases in a specific pool, but the "variable" flag is set for cases of that type or a case of that case type and subcategory, a judicial officer can receive an infinite number of cases, BUT once all judicial officers in that pool have received their "max" the pool WILL roll over.
5. "Carryover" Option if judicial officer's pool maximum is exceeded. Assignment pool needs

an OPTION, if a pool is set to "variable" (as indicated in step 4) there also needs to be an option of whether the "excess" is carried over when the pool rolls over. If the pool is set to CARRY OVER the "excess," the new pool will reflect the number of cases received beyond the maximum. For example: when the pool rolls over, if the maximum number of cases for that judicial officer is two, but a judicial officer may have received five cases before the pool rolled over. The new/rolled over pool will show that judicial officer as already having received three cases (because he went three cases beyond the max in the last pool). However, if the pool is NOT set to carry over the "excess," the judicial officer will show "0" cases received when the pool rolls over.

6. Automatic random judge assignment. When assigning a judicial officer to a case, CMS should have the ability to do automatic random assignment. The pool should update automatically to reflect the assignment. When the CMS is making a random judicial officer assignment it should look FIRST at whether each judicial officer in the pool has received their max number of cases. If each judicial officer HAS received the max number of cases, the pool should roll over and the rules for random judge assignment would then be followed, which are specified as follows:

    a. If there is a subcategory assigned to the case, check the pool to see if any of the judicial officers in the pool have been associated to that subcategory. If there are, only use those judicial officers in the random judge assignment. Otherwise, use all judicial officers in the pool.

    b. If the pool is NOT selecting judicial officers based on subcategory, from the selection of judicial officers in step a, look for the Case Type “variable” amount flag on any of the judicial officers. If the variable amount flag has been set, the judicial officer can be selected. If the variable amount flag has NOT been set, check the max number of cases and drop any judicial officer who has received their max number.

    c. If the pool IS selecting judicial officers based on subcategory, from the selection of judicial officers in step a, look for the subcategory “variable” amount flag on any of the judicial officers. If the variable amount flag has been set, the judicial officer can be selected. If the variable amount flag has NOT been set, check the max number of cases and drop any judicial officer who has received their max number.

    d. From the remaining Judicial officers, if there are judicial officers in the selection that are marked as “variable” randomly pull from the judicial officers who equally have the lowest number of cases received. If none of the Judicial officers in the selection are marked as “variable,” randomly pull any judicial officer in the selection. Update the pool to reflect the judicial officer assignment.

7. Manual judge assignment WITHOUT affecting maximum number of cases received. When assigning a judicial officer to a case, the user shall have the ability to manually assign a judicial officer which will NOT update the number of cases received by that judicial officer in the existing pool.
8. Manual judge assignment affecting maximum number of cases received. When assigning a judicial officer to a case, the user shall have the option to manually assign a judicial officer which WILL automatically update the cases RECEIVED by that judicial officer in the existing pool, but will NOT allow the user to manually assign the judicial officer if the max for that

judicial officer has been reached AND that judicial officer is NOT flagged to exceed the max.

9. Random or manual judge assignment affecting number of cases received. When assigning a judicial officer to a case where there has been a PREVIOUS JUDICIAL OFFICER ASSIGNMENT, the user shall have the option to randomly assign a judicial officer or manually assign a judicial officer. The result of the pull will increase the cases received for the judicial officer being assigned but will DECREASE the number of cases received for the judicial officer previously assigned to that case. The pool must be able to store NEGATIVE numbers for a judicial officer's cases received in an existing pool.
10. Supervisory personnel able to adjust judicial officer case numbers. Supervisory personnel shall have the ability for to adjust the number of cases received by a judicial officer in an existing assignment pool. For example: If there is an error made, supervisory staff shall be able to adjust the pool for a judicial officer to reflect the correct number of cases assigned to that judicial officer (whether that is an increase or decrease in the number of cases received)
11. User saves judicial officer assignment. Any random judicial officer assignment which updates the pool shall NOT be assigned by the CMS until the user selects the save option. Best practice requires that the user should not start to assign a judicial officer and hold that judicial officer while completing other data tasks. Multiple staff may be creating and updating cases, so delay in finalizing a case assignment can throw the assignment pool off if selection of a judicial officer and update of the pool by saving the selection are not done in quick sequence.
12. Counting consolidated cases. Cases consolidated with another cases shall be counted as an additional case in a judicial officer's caseload if the case is reassigned.
13. Counting disqualified/ recused cases. The caseload of a judge disqualified/ recused from a case, or who agrees to transfer a case, is reduced by one. Conversely, the caseload of a judge who receives a case through disqualification/ recusal, or who agrees to receive a case, is increased by one.

BR 2.3-02 Specific Rules Applicable to Assigning Felony General Division Cases

14. When a defendant has new felony charges filed and has one or more pending felony cases pending before the Court, the judge before whom the oldest case is assigned shall decide any motion to consolidate.
15. When a defendant has a co-defendant in this case or has co-defendants(s) with a prior pending case, the case shall be assigned to the docket of the judge who was assigned the pending case with the lowest case number.
16. When a defendant has a co-defendant where the co-defendant has a pending co-defendant (the third defendant is on probation for another case), the case shall then be assigned to the docket of the judge with the pending case with the lowest case number.
17. When a defendant has a co-defendant who is on probation, then all the defendants shall be assigned to the docket of the judge who has that co-defendant on probation. Where there is more than one co-defendant on probation then the case shall be assigned to the docket of the judge with the lowest numbered case.

BR 2.3-03 Specific Rules Applicable to Assigning Civil General Division Cases

18. Assign any civil case being refiled under a new number after a voluntary or involuntary dismissal, to the judge to whom the original dismissed case was assigned, provided that judge is still assigned to the General Division. Otherwise, assign the case randomly, consistent with the rules for the assignment of newly filed cases for that case type.
19. Upon the filing of any declaratory action, which substantially relates to an already pending action, assign the declaratory action to the judge assigned to the substantive case.

BR 2.3-04 Specific Rules Applicable to Assigning Juvenile Cases

20. Override a judge assignment if a judge has been assigned a case involving another member of the juvenile's family ("one family, one judge") with a lower case number.
21. Assign cases without an attorney (self-represented litigants) to the visiting judge.

BR 2.3-05 Specific Rules Applicable to Assigning Domestic Relations Cases

22. Assign contested cases to the visiting judge.
23. Randomly assign pretrial and post-trial matters to a magistrate.
24. Assign supplemental proceedings in domestic relations cases to the judicial officer who last presided over the case.
25. If the judicial officer who was last assigned to the case is no longer in the Domestic Relations Division, assign supplemental proceedings to the judicial officer who was assigned the caseload of the one who left.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.3-01	Assignment Pool/ Current Workload of Judges As of a certain date, show the numbers of cases assigned to a judge in the assignment pool, filterable by judge, case category, subcategory, case type. **Vendor Response (written narrative here):**				
RD 2.3-02	Workload of Judicial Officers by Division As of a certain date, the report shows the cases assigned to judicial officers with case category, subcategory, case type and date assigned, and summary totals by judicial officer, as contained in **DN 2.3-01 Case Assignment and Workload Equalization Table** **Vendor Response (written narrative here):**				
AC 2.3-01	Automatically Assign Felony Cases to General Division Judicial Officers Automatically assign cases to judicial officers according to **BR 2.3-02 Assign New Felony Division Case**, affecting workload calculations of judicial officers for maintaining equality of judicial workload**.** **Vendor Response (written narrative here):**				
AC 2.3-02	Automatically Assign Civil Cases to General Division Judicial Officers Automatically assign cases to judicial officers according to **BR 2.3-03 Assign New Civil Division Case**, affecting workload calculations of judicial officers for maintaining equality of judicial workload**.** **Vendor Response (written narrative here):**				
AC 2.3-03	Automatically Assign Juvenile Cases to Juvenile Division Judicial Officers – 2 judges, 8 magistrates Automatically assign cases to judicial officers according to **BR 2.3-04 Assign New Juvenile Division Case**, affecting workload calculations of judicial officers for maintaining equality of judicial workload**.** **Vendor Response (written narrative here):**				
AC 2.3-04	Automatically Assign Domestic Relations Cases to Domestic Relations Division Judicial Officers – 2 judges, six magistrates Automatically assign cases to judicial officers according to **BR 2.3-05 Assign New Domestic Relations Division Case**, affecting workload calculations of judicial				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	officers for maintaining equality of judicial workload. **Vendor Response (written narrative here):**				
AC 2.3-05	Transfer or Reassign Cases Enable the user to manually assign or reassign cases to judicial officers, affecting workload calculations of judicial officers for maintaining equality of judicial workload. **Vendor Response (written narrative here):**				
AC 2.3-06	Mass-Assign Cases from One Judicial Officer to Another Mass-assign a group of cases or all cases from one judicial officer to another judicial officer or among a group of judicial officers, according to workload calculations of judicial officers for maintaining equality of judicial workload. **Vendor Response (written narrative here):**				
DN 2.3-01	Case Assignment and Workload Equalization Table Business rules are configured into the case assignment table for assigning cases to judicial officers. The table records assignment of cases to judicial officers, populated when a case is assigned, either initially or as a case is reassigned manually. Table entries assigned to a different judicial officer or judicial officers. **Vendor Response (written narrative here):**				

2.4 Record Counsel Participation in Cases

Business Capability Description

Record counsel participation in cases, including limited scope legal representation for certain parts of a case.

Business Rules

BR 2.4-01 Appearance by Attorney

Court rule requires a written Appearance form containing the attorney's name, office address, telephone number and attorney registration number.

BR 2.4-02 Limited Scope Legal Representation "Unbundled Legal Services" (Limited Engagements)

RPC 1.2(c) provides that "a lawyer may limit the scope of representation if the limitation is reasonable under the circumstances and the client gives informed consent." Court policy may require filing of a Limited Appearance form to advise the court when the limited representation begins, and another filing when it ends.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.4-01	Attorney History of a Case/ Party For a date range, show attorney representation for a case or a party, by date **Vendor Response (written narrative here):**				
AC 2.4-01	Link attorneys to parties in a case, as of a certain date. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.4-02	Unlink attorneys from cases after court approval of withdrawal or at the end of a limited engagement, as of a certain date. **Vendor Response (written narrative here):**				
AC 2.4-03	From a default setting of "Self Represented," automatically mark a party as "Represented" when one of the following conditions occurs: a. When an attorney files an Appearance form b. When an attorney files a Certificate of Attorney c. When an attorney files a Limited Scope Legal Representation d. When the court appoints indigent counsel for the party **Vendor Response (written narrative here):**				
AC 2.4-04	Automatically mark a party as "Unrepresented" when one of the following conditions occurs: a. The court orders withdrawal of an attorney from the case b. The attorney's limited appearance has ended c. The party informs the court that the party is not represented (any longer) d. Party Attorney Information Update Enable private attorneys to notify the Clerk when an attorney's firm affiliation has changed for updating his/her cases to reflect this change **Vendor Response (written narrative here):**				
DN 2.4-01	Attorney/ Client History A case query must display all history for a party's representation in the case (i.e., dates when a particular representation began and ended), whether it was full or limited representation, and whether it was an appearance of counsel *pro hac vice* (see LCR 21.05). **Vendor Response (written narrative here):**				
DN 2.4-02	Self-Represented Litigant Flag (Attorney Representation Status) The default value of this data field is 'On' (self-represented) and is automatically updated (turned 'off') when an attorney files an Appearance form or Certificate of Attorney, or a Limited Appearance form (see **BR 2.4-3 Limited Scope Legal Representation "Unbundled Legal Services"** (Limited Engagements), or when the court appoints counsel for the party, and is turned 'On' when the court orders withdrawal of an attorney from the case, or the attorney's limited appearance has ended. **Vendor Response (written narrative here):**				

2.5 Track Party Status

Business Capability Description

Track party status in a case, i.e., party is active in the case, party is dismissed from the case, case is dismissed. Party status is used to determine what notices must be sent to active parties.

Business Rules

BR 2.5 Active Status of a Party

Court policy may provide that a party is active in a case unless the party is dismissed from the case or the case is dismissed.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.5-01	Party Involvement in Case Report For a date range, the parties and their dates of entry to and dismissal from a case. **Vendor Response (written narrative here):**				
AC 2.5-01	Update Party Status Update party status when changed by an event code, or prompt the user to select from a list of parties which need to be updated on the case (e.g., in a criminal case from "Active" to "Dismissed" when a court order grants a motion to *nolle prosequi* the party from the case, or a court dismisses the case; in a civil case from "Active" to "Dismissed" when a court order dismisses a party from the action or the court dismisses the case), by updating **DN 2.5-03 Case-Party Status Table**. **Vendor Response (written narrative here):**				
AC 2.5-02	Designate in civil cases the roles of parties in a case: a. Plaintiff b. Defendant (no counterclaim or cross-claim) c. Defendant/Counter-claimant (claim against a plaintiff) d. Defendant/Cross-claimant (claim against another defendant) Third-Party Defendant (claim by a defendant against someone not already named as a party, bringing them in as a party) **Vendor Response (written narrative here):**				
DE 2.5-01	Defendant Release from Jail Notification This data exchange from the Sheriff's jail management system notifies updates the custody status of a defendant to "Not in Custody" when a defendant bonds out of jail, including a defendant's case number(s) and release date. **Vendor Response (written narrative here):**				
DN 2.5-01	Active Party Status Flag When a party is added to a case, the default value assigned to the party is "Active." The flag is automatically turned to "Dismissed" when a court order grants a motion to *nolle prosequi* the party from the case, or a court orders dismissal of the case. **Vendor Response (written narrative here):**				
DN 2.5-02	Designation of Party Role Designate in civil cases the roles of parties in a case in the following categories ("Plaintiff" is synonymous with "Petitioner" and "Defendant" with "Respondent"): a. Plaintiff b. Defendant (no counterclaim or cross-claim) c. Defendant/Counter-claimant (claim against a plaintiff)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	d. Defendant/Cross-claimant (claim against another defendant) e. Third-Party Defendant (claim by a defendant against someone not already named as a party, bringing them in as a party) **Vendor Response (written narrative here):**				
DN 2.5-03	Case-Party Status Table This table contains an entry for each party in a case and the status of the party, updated by event codes automatically or manually. See **AC 2.5-01 Update Party Status**. **Vendor Response (written narrative here):**				

2.6 Track Certifications/ Registration

Business Capability Description

The court maintains a number of lists of qualified professionals:

- Approved guardians ad litem (GAL)
- Qualified mediators with specialized training in domestic abuse issues, child protection, family or divorce mediation, and family dispute mediation
- Licensed Treatment Service Providers
- Interpreters are not formally certified, but the court maintains a list of interpreters.

Business Rules

BR 2.6-1 Approved Guardians ad Litem (GAL)

Juvenile Rule 6 provides that the administrative judge maintain a list of attorneys for appointment as GAL, with specified hours of CLE.

BR 2.6-2 Mediators in Delinquency, Child Protection, Parental Rights Cases

Juvenile Rule 11.5 provides that, in addition to a mediator employed by the Juvenile Division, the court maintains a list of third-party qualified mediators with specified hours of mediation training and in domestic abuse issues.

BR 2.6-3 Mediators with Qualifications in Juvenile Perpetrated Domestic Violence, Allocation of Parental Rights, Care of or Visitation with Minor Children, and Child Protection Cases

Juvenile Rule 11.5 provides that specialized third-party mediators complete specified hours of specialized child protection or specialized family or divorce mediation training.

BR 2.6-4 Mediators with Qualifications in Child Protection, Permanent Custody, Dependency Neglect or Abuse Cases

Juvenile Rule 11.5 provides that specialized third-party mediators complete specified hours of specialized child protection and family dispute mediation training.

BR 2.6-5 Domestic Relations Mediator Qualifications

Domestic Relations Local Rule 18.04 provides that mediators complete specified hours of mediation training, and maintain liability insurance specifically covering the activities of the individual as a mediator.

BR 2.6-6 Conflict Counsel List

Court policy may provide maintaining a list of attorneys experienced as conflict counsel, by case type.

Req. #	Requirement	Response Code	Estimated Hours to

		I	C	N	
RD 2.6-01	List of Approved Guardians ad Litem under Juvenile Rule 6 For a date range, the report contains the names of the persons on the list, the date of appointment, the CLE training, and date of removal from the list, if any. (Each type of mediation training has a separate entry.) **Vendor Response (written narrative here):**				
RD 2.6-02	List of Mediators Qualified under Juvenile Rule 11.5 For a date range, the report contains the names of the persons on the list, the date of appointment, the date of mediation training, and date of removal from the list, if any. (Each type of mediation training has a separate entry.) **Vendor Response (written narrative here):**				
RD 2.6-03	List of Interpreters For a date range, the report contains the names of active interpreters on the interpreter list, sorted or filtered by language, date added to the list, and date of removal from the list, if any. **Vendor Response (written narrative here):**				
RD 2.6-04	Licensed Treatment Service Provider List For a date range, the report contains the names on the list of Licensed Treatment Service Providers. **Vendor Response (written narrative here):**				
AC 2.6-01	Update data on the relevant list (see **RD 2.6-01 through RD 2.6-05**) for the types of lists), scan supporting documentation and attach it to the person's record on the list. **Vendor Response (written narrative here):**				
AC 2.6-02	Update interpreter data fields (Dropdown: name, language, level of training, contact numbers, email addresses and postal address) **Vendor Response (written narrative here):**				

2.7 Assign Other Participants

Business Capability Description

The presiding judicial officer in a case may assign other participants to a case (other than attorneys representing parties, interpreters and court reporters), including a mediator, an arbitrator, a guardian ad litem (GAL), a court-appointed special advocate (CASA), a fitness-for-trial psychological evaluator. Other participants may be assigned to cases by outside agencies, including case workers. Parties may designate other participants in the case, including expert witnesses and parents of a juvenile.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.701	Other Case Participants Report The list shows, for a case, the participants in the case, and the dates of their involvement. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.7-01	The judge or magistrate in a case appoints participants to a case, and courtroom staff enters the appointment in the register of actions (ROA), indicating the type of appointment (Dropdown: a mediator, an arbitrator, a guardian ad litem (GAL), a Parenting Coordinator, a court-appointed special advocate (CASA), a fitness-for-trial psychological evaluator), name, date of appointment. **Vendor Response (written narrative here):**				
DN 2.7-01	Other Participant Table The table will include the case number the participant was involved in, the role of a participant, the date each time the participant testified or was otherwise involved in the case, the party on whose behalf the participant testified or otherwise appeared in court. **Vendor Response (written narrative here):**				

2.8 Recuse Judicial Officer or Attorney

Business Capability Description

Courts maintain and track potential conflicts of interest between judicial officers and attorneys, between judicial officers and law firms, between judicial officers and litigants, between attorneys and other attorneys and law firms, and between attorneys and litigants. A judicial conflict of interest may result in a judicial officer recusing himself or herself. Illinois law grants each party with one substitution of judicial officer without cause.

Business Rules

BR 2.8-01 Substitution of Judicial Officer

Court rule may provide that each party is entitled to one substitution of judicial officer without cause as a matter of right.

BR 2.8-02 Notification Potential Conflict of Interest

Court policy may provide a means for judicial officers and attorneys to register their potential conflicts of interest by submitting a form containing information for entry into **DN 2.8-1 Conflict of Interest Table**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.8-01	Potential Judicial Conflict of Interest Report/ Display For a date range, report/ display potential judicial conflicts of interest, showing judicial officer name, affected attorney/ law firm/ litigant, and case number. See **DN 2.8-1 Conflict of Interest Table** **Vendor Response (written narrative here):**				
RD 2.8-02	**Potential Attorney Conflict of Interest Report/ Display** For a date range, report / display potential attorney conflicts of interest, showing attorney named, affected judicial officer/ attorney/ law firm/ litigant, and case number. See **DN 2.8-1 Conflict of Interest Table** **Vendor Response (written narrative here):**				
RD 2.8-03	Case Recusal History Report For a case, the history of recusals, and source of each recusal. See **DN 2.8-2 Case**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Recusal Table **Vendor Response (written narrative here):**				
AC 2.8-01	Enter Judicial Conflicts of Interest Enter conflicts of interest for a judicial officer, identifying the parties, attorneys and law firms affected, along with a minute entry indicating that a judicial conflict of interest was entered. **Vendor Response (written narrative here):**				
AC 2.8-02	Enter Attorney Conflicts of Interest Enter conflicts of interest for an attorney, identifying the judicial officers, parties, attorneys and law firms affected, along with a minute entry indicating that an attorney conflict of interest was entered. **Vendor Response (written narrative here):**				
AC 2.8-03	Judicial Conflict of Interest Alert Alert a court user to a potential conflict when a case is being assigned to a judicial officer – see **RD 2.8-1 Potential Judicial Conflict of Interest Report/ Display**, and send a notification to the judicial officer and to the attorneys and unrepresented litigants. **Vendor Response (written narrative here):**				
AC 2.8-04	Attorney Conflict of Interest Alert Alert a court user to a potential conflict when an attorney makes an appearance in a case– see **RD 2.8-2 Potential Attorney Conflict of Interest Report/ Display**, and send a notification to the judicial officer and to the attorney. **Vendor Response (written narrative here):**				
AC 2.8-05	Record Judicial Recusals and Disqualifications Allow assigned judicial officer to be recused on a specific case; record basis for recusal. Provide the user the ability to specially assign a replacement judicial officer and notify relevant users (e.g., scheduling clerk) that special arrangements may be necessary in light of the assignment. **Vendor Response (written narrative here):**				
AC 2.8-06	Record Attorney Recusals and Disqualifications Allow an attorney to be recused on a specific case; record basis for recusal. Provide the user the ability to specially assign a replacement judicial officer and notify relevant users (e.g., scheduling clerk) that special arrangements may be necessary in light of the assignment. **Vendor Response (written narrative here):**				
DN 2.8-01	**Conflict of Interest Table** The table will include the person registering the potential conflict of interest, the affected judicial officer/ attorney/ law firm/ litigant, case number, and date. **Vendor Response (written narrative here):**				
DN 2.8-02	Case Recusal Table This table, updated when a judicial officer recuses himself/ herself from a case,				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	stores the case number, date of recusal, reason for recusal (first substitution may be "without cause"), judicial officer recused, new judicial officer assigned. **Vendor Response (written narrative here):**				

3 Maintain Case History

3.1 View Case Events in Docket/ Register of Actions

Business Capability Description

People internal and external to the court view case events in the docket/ Register of Actions (ROA), which lists filed documents and events which occur in the case (e.g., hearing continued, order entered), and financial events in the case. Users may navigate to see the contents of documents listed in the docket/ ROA.

Business Rules

BR 3.1-01 Docket/ Register of Actions (ROA)

The clerk maintains a docket/ Register of Actions in each case, i.e., a chronological register of all documents filed, list of orders entered, and of all proceedings held in a case.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.1-01	Register of Actions The docket/ Register of Actions for cases shows all events, documents filed by parties and participants, entry of orders, and other activities, with drill-down clicking to the content of filed documents, journal entries, etc. **Vendor Response (written narrative here):**				
RD 3.1-02	Include Case Age in Displays Include case age with any display of case status or adherence to legal deadlines (e.g., tracking conformance to time standards). **Vendor Response (written narrative here):**				
RD 3.1-03	Filter Register of Action Entries Provide view/filter of entries in the Register of Actions of a case by type, e.g., events, documents, financial entries. **Vendor Response (written narrative here):**				
RD 3.1-04	Flexible Viewing Screens Provide screens configurable to a user role to display information about a case, e.g., a judicial officer may want to have all information on an individual or case on one screen, with customized blocks or tabs of information, some visible at all times and others available by selecting a tab to show the data. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.1-05	Linked Cases Provide screens to view all cases in which a person is a defendant, and cases in which a person has other involvements. Also see **1.3 Link Cases**. **Vendor Response (written narrative here):**				
AC 3.1-01	Search the Register of Actions Search the Register of Actions for a particular document, documents filed on a particular date, and other elements. **Vendor Response (written narrative here):**				
AC 3.1-02	Text Search Minute/ Journal Entries Perform a text search on minute/ journal entries (within a case or across cases). **Vendor Response (written narrative here):**				
AC 3.1-03	Track Appeals Track information on cases that are appealed: higher court Register of Actions number, date sent (appeal packet), decision, and decision date. **Vendor Response (written narrative here):**				

3.2 Record Subsequent Filings

Business Capability Description

Case data from subsequent filings automatically populates the Register of Actions (ROA) of a case, or a user keyboard-enters case data from a document recorded in the ROA. Some documents submitted are not filed - also see **6.10.2 Electronic Presentation of Proposed Orders and Other Documents**.

In auxiliary case types (e.g., mediations), correspondence to and from the case manager is included in the ROA.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.2-01	Cases with Subsequent Filings For a date range, by case type, a summary of the numbers of cases with subsequent filings, and list of the cases. **Vendor Response (written narrative here):**				
AC 3.2-01	Assisted Entry in Register of Actions about Filed Document Provide the ability to generate Register of Actions entries automatically, based on user-defined rules for manually entered data and for electronically transmitted data. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.2-02	Attach Document to Relevant Register of Actions Entry Enable attaching a filed document to a Register of Actions Entry related to the document. **Vendor Response (written narrative here):**				
AC 3.2-03	CMS-DMS integration Fully integrate the electronic document management system with the case management system for indexing and saving data/ images of filed documents **Vendor Response (written narrative here):**				
AC 3.2-04	Accept and Enter Electronic Submissions in Register of Actions Accept electronic evidence, such as PowerPoint slides, engineering diagrams, etc. **Vendor Response (written narrative here):**				
AC 3.2-05	Immediate scanning of submitted documents Enable scanning can be performed at the time documents are filed. (see **1.1.2 Enter/ Import Case Initiation Data**) **Vendor Response (written narrative here):**				
AC 3.2-06	System Displays Document Relationships Allow associating all objections, answers, and other related documents to the initiating document. **Vendor Response (written narrative here):**				
DE 3.2-01	**Subsequent Filing Data Exchange** This data exchange automates the sharing of information between the Prosecution and Probation case management systems and the Court when filing a Motion/Notice, including attachments, affidavits, certificates, proof of service and proposed order on their case **Vendor Response (written narrative here):**				

3.3 Manage Service of Paper Documents and Sheriff Sales

3.3.1 Returns of Service

Business Capability Description

The Sheriff's Civil Division manages requests for service of civil process and other returns (e.g., subpoenas, writs of execution, search warrants, arrest warrants), receipts fees for serving papers, and provides security at evictions. Sheriff's deputies are assigned requests for service and serve court papers.

Attorneys and parties participating in e-filing are automatically served.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.3.1-01	New Service Docket Entry Display 1. Enter the Case Number for the case (any case type allowable) 2. For cases in Lucas County, display auto-populated fields for entering new service request: a. Date Received(default to current date) b. Sheriff Case Status (Dropdown: Active, Closed, default to 'Active') c. Case Number d. Plaintiff i. Numbered Plaintiff (default value '1') ii. Last/ Company iii. First iv. Middle v. Address1 vi. Address2 vii. City/ State/ Zip Code viii. Attorney Number/ Name e. Defendant i. Numbered Defendant (default value '1') ii. Last/ Company iii. First iv. Middle v. Address1 vi. Address2 vii. City/ State/ Zip Code viii. Attorney Number/ Name 3. For out-of-county cases (outside Lucas County in Ohio), select the county (Dropdown: list of Ohio counties) and enter the data fields listed in 2(c) through 2(e). 4. For out-of-state cases, select the state (Dropdown: list of states) and enter the data fields listed in 2(c) through 2(e). 5. Generate a unique Sheriff Service ID Number				
RD 3.3.1-02	Service/ Return Search Display Display search fields for returns of service, showing the following fields: a. Case Number b. Party Name c. Issued Date d. Received Data e. Service ID (unique ID given to each service request) f. Service Type (Dropdown: Foreclosure Summons, Summons) g. Court Date h. Street Number i. Street Name **Vendor Response (written narrative here):**				
RD 3.3.1-03	Service/ Return Calendar Display 1. Display a month calendar (with navigation to previous and next month) showing the "Received" number of service requests on each day of the calendar, and "Service Type" dropdown to select type of service request (Default is 'All'). 2. Clicking on a date displays **RD 3.3.1-01 Service/ Return Search Display.**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
RD 3.3.1-04	Eviction Calendar Display 1. Display a month calendar (with navigation to previous and next month) showing the "Evictions" number of evictions scheduled on each day of the calendar, and "Service Type" dropdown to select type of service request (Default is 'All'). 2. Clicking on a date displays **RD 1.2-02 Case, Person and Organization Search Results Display**. **Vendor Response (written narrative here):**				
RD 3.3.1-05	Service Request Summary Display the following fields for entry of a service request, including an "Additional Service" button to clear the current service request and allow a new service ID Number on the same case number, and a "Duplicate Service" button to create a new service request using the same case number and same service type: a. Case Number b. Service ID (auto-populate) c. Service Type (Dropdown: Foreclosure Summons, Summons) d. Date issued (with calendar pop-up widget to enable selecting a date) e. Date Received (with calendar pop-up widget to enable selecting a date) f. Immediate Attention checkbox (to indicate expedited service requested) g. Personal Service checkbox h. Attachments button to navigate to browsing and selecting attachments to add to the service request i. Special Instructions (free text) j. Last Name of the person to be served k. First Name of the person to be served l. Middle Name of the person to be served m. Address Line 1 n. Address Line 2 o. City/ State/ Zip Code p. Deputy Assigned to Serve q. Offense – charges against the person to be served (if any) r. Print Service Slip button **Vendor Response (written narrative here):**				
RD 3.3.1-06	Service Results Display Display the following fields for entry of a return of service: a. Service Result (Dropdown: Not Found, Served) b. Service Date c. Service Time d. Service Notes (free text) e. Deputy Who Served f. Zone/ Miles				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
RD 3.3.1-07	Service History/ Cost Display 1. Display (showing header information: Case Number, Filing Date, Court, Plaintiff and Defendant, Service ID) the following fields for a docket entry: a. Type/ Docket Codes (Dropdown: list of values TBD) b. Transaction Code (Dropdown: (Mileage, Summons Received) c. Description associated with Transaction Code d. Additional Text (free text) e. Docket Date f. Amount of Cost ~~g. Amount Applied~~ 2. Create Docket Entry button that saved the data in a docket entry and allows further entry for multiple costs associated with a return of service, and repeat Step 1. 3. When the user completes entry of service costs, display the following fields: a. Total Amount of Service Costs b. Total Amount of Payments c. Balance of Service Costs Due **Vendor Response (written narrative here):**				
RD 3.3.1-08	Sheriff Sale and Service Records Name Search Display Display a search screen enabling the user to search for Sheriff Sale and Service records, with the following options: a. Person or Organization b. Alphabetical or phonetic search c. Last Name (Person) or Name (Organization) d. First Name (Person) e. Middle Name (Person) f. Street Name **Vendor Response (written narrative here):**				
RD 3.3.1-09	Deputy Work Load Display of Unserved Cases 1. Display the cases with service to be made that have no deputy assigned to serve them (with a total of such cases), with the following fields: a. Checkbox (select by case and Select All option) to select a case to assign to a deputy and to print on Officer's Daily Log Report b. Service ID c. Case Number (clicking on the Case Number navigates the user to **RD 3.3.1-04 Service Request Summary**) d. Party Name e. Service Address f. Type of Service (Dropdown: Foreclosure Summons, Summons) g. Issue Date 2. Select one or more cases and enter the following fields, including the total selected: a. Deputy (Dropdown list of deputies)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	b. Type of Service (Dropdown: Foreclosure Summons, Summons), c. Date Issued (with pop-up calendar to select date) d. Court Date (with pop-up calendar to select date) **Vendor Response (written narrative here):**				
RD 3.3.1-10	Service Receipted Funds Display Display a screen for receipting funds related to service of court papers in a case, with the following fields: a. Case Number (entry field) b. Property Address (display field for reference if sheriff sale) c. Amount of deposit or the money receipt for this case d. Repeat steps a-c if more cases are entered for this receipt e. Plaintiff (display field for reference) f. Defendant (display field for reference) g. Foreclosure Purchase Price if sheriff sale deposit h. Receipt Date (default to current date) i. Receipt Number (auto-populate) j. Type (Dropdown: list of values TBD) k. Note (free text) l. Payment Type (Dropdown: Cash, Check, Money Order, Cashier's Check, Credit/ Debit Card) m. Check # if needed (free text) n. Authorization Code (free text) o. Amount of that payment type p. Repeat steps m-o if more types of payment q. Save the data and print receipt **Vendor Response (written narrative here):**				
RD 3.3.1-11	Returns of Service of Civil Process and Other Returns Report For a date range, a summary and detail of returns of service filed, by type of return. **Vendor Response (written narrative here):**				
RD 3.3.1-12	Unserved Returns of Service Report For a date range, a summary and detail of cases awaiting service, sortable by case number case type, plaintiff name. **Vendor Response (written narrative here):**				
AC 3.3.1-01	Returns of Service Enter the return of service in the Court Register of Actions (Court ROA) for the case, showing the date and type of service, and cost. **Vendor Response (written narrative here):**				
AC 3.3.1-02	Receipt payment for service in a case for each document served or to be served, or for supervising an eviction. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.3.1-03	Third-Party Entry of Returns of Service Configure a role enabling servers (Sheriff's Civil Process Division and private process servers) to enter service data ("non-party filers"). **Vendor Response (written narrative here):**				
AC 3.3.1-04	Generate Service Documents: a. Out of State Affidavit b. Service Slip c. Out of State Fax Sheet d. Civil Service Process Master Page e. Sheriff Return **Vendor Response (written narrative here):**				
DE 3.3.1-01	Summons Return Notification This data exchange sends service of summons information from the Sheriff's records management system, to update the court's case record. **Vendor Response (written narrative here):**				
DE 3.3.1-02	USPS Interface for Notification of Service of Process This data import receives information that a return receipt has been received, updating the case service record, indicating perfection of service. **Vendor Response (written narrative here):**				
DN 3.3.1-01	For non-electronic service see **DN 1.1.2-8 Non-Electronic Filing Party Flag** Document Service History The document service history will include the type of document served, attempts and service by whom (individual and organization), dates, service method, and the outcome of each service attempt if multiple attempts are necessary to serve the parties or attorneys successfully. **Vendor Response (written narrative here):**				

3.3.2 Sheriff Sales

Business Capability Description

The Sheriff's Civil Division provides execution of court orders to sell property. Also see **RD 3.3.1-07 Sheriff Sale and Service Records Name Search Display** for search of sheriff sales.

Business Rules

BR 3.3.2-01 Sale of Foreclosed Property

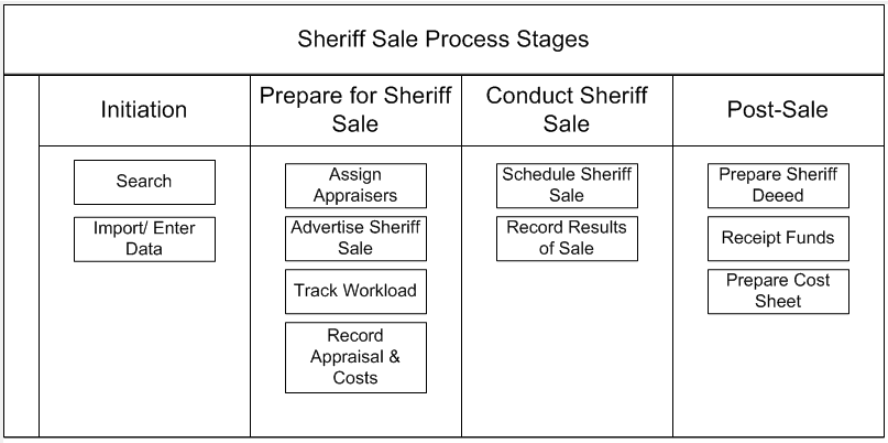
ORC 2323.07 Sale of foreclosed property provides authority for the sheriff to execute upon and sell property.

BR 3.3.2-02 Local Rule Revision September 3, 2008 for Section 8.02 Sheriff's Sale

Local rules of the Common Pleas Court were revised by Journal Entry dated September 3, 2008.

Process Activities

1. The Sheriff's Civil Division receives a journal entry ordering a sheriff sale – enter case in **RD 3.3.2-01 New Sheriff Sale Entry Display**
2. High-level view of the requirements are shown in the diagram below:



Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.3.2-01	New Sheriff Sale Entry Display 1. Enter the Case Number for the case (any case type allowable) 2. For cases in Lucas County, display auto-populated fields for entering new sheriff sale: a. Date Received(default to current date) b. Sheriff Case Status (Dropdown: Active, Closed, default to 'Active') c. Case Number d. Plaintiff i. Numbered Plaintiff (default value '1') ii. Last/ Company iii. First iv. Middle v. Address1 vi. Address2 vii. City/ State/ Zip Code viii. Attorney Number/ Name e. Defendant i. Numbered Defendant (default value '1') ii. Last/ Company iii. First iv. Middle v. Address1 vi. Address2 vii. City/ State/ Zip Code viii. Attorney Number/ Name 3. For out-of-county cases (outside Lucas County in Ohio), select the county (Dropdown: list of Ohio counties) and enter the data fields listed in 2(c) through 2(e). 4. For out-of-state cases, select the state (Dropdown: list of states) and enter the data fields listed in 2(c) through 2(e). 5. Generate a unique Sheriff Sale Number (PPN#). **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.3.2-02	Sheriff Sale Search Display 1. Display search fields for sheriff sales, showing the following fields: a. Case Number b. Sale Date c. Foreclosure Type (Dropdown: Alias, Delinquent Taxes, Mortgage, Regular) d. Status of Sheriff Sale (Dropdown: Active, Cancelled) e. Street Number f. Street Name g. Sale Type (Dropdown: Non-Tax Sale, Tax Sale) h. Buyer 2. Button to enable entering a new case 3. Button to enable entering a new foreclosure on a case 4. Display cases meeting the search criteria, showing total of cases listed and the following fields, enabling drill-down on the Case Number: a. Checkbox (select by case and Select All option) to select a case to print on Sales Info Sheet Report b. Case Number c. Defendant d. Address (number and street) e. Appraisal Amount f. Sale Type g. Foreclosure Type h. Status i. Sale Date **Vendor Response (written narrative here):**				
RD 3.3.2-03	Sheriff Sale Calendar Display 1. Display a month calendar (with navigation to previous and next month) showing the number of ”Set” sheriff sales on each day of the calendar. 2. Clicking on a date displays **RD 3.3.2-01 Sheriff Sale Search Display.** **Vendor Response (written narrative here):**				
RD 3.3.2-04	Sheriff Sale Name Search Results Display Results from a name search using **RD 3.3.1-07 Sheriff Sale and Service Records Name Search Display**, show a list of cases with the following fields: a. Sheriff Sale ID “PPN#” b. Name c. Address d. Role e. Case Number **Vendor Response (written narrative here):**				
RD 3.3.2-05	Sheriff Sale Docket Entry Summary Display Display the following fields for entry of a sheriff sale: a. Case Number b. Sheriff Sale ID “PPN#” (auto-populate) c. Sale Type (Dropdown: Non-Tax Sale, Tax Sale) d. Foreclosure Type (Dropdown: Alias, Delinquent Taxes, Mortgage,				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Regular) e. Sale Date (with calendar pop-up widget to enable selecting a date) f. Button for New Sale or Modify Existing Sale i. Selecting New Sale creates a new sale on this case ii. Selecting Modify Existing Sale displays a pick list of existing sales on the case for drill-down, showing Foreclosure Type, Sale type, Sale Date, Address **Vendor Response (written narrative here):**				
RD 3.3.2-06	Sheriff Sale Docket Entry Property Information Display Display the following fields for entry of a sheriff sale for the case selected: a. Clerk Issue Date b. Address Line 1 with "1/2" checkbox c. Address Line 2 d. City/ State/ Zip Code e. Sheriff Sale ID "PPN#" (auto-populated) f. Property Description g. Buyer Address h. Address Line 1 with "1/2" checkbox i. Address Line 2 j. City/ State/ Zip Code k. Buyer Phone Number l. Purchase Price m. Deposit Received n. Judgment Amount o. Status of Sheriff Sale (Dropdown: Active, Canceled, Bankrupt) p. Note (free text) q. Status Date **Vendor Response (written narrative here):**				
RD 3.3.2-07	Sheriff Sale Docket Entry Party Information Display Display the following fields for entry of a sheriff sale for the case selected, repeating for each party: a. Role (Dropdown: Plaintiff, Defendant) b. Party ID (auto-populate) c. Type of Party (Dropdown: Individual, Organization) d. Last Name/ Organization e. First Name f. Middle Name g. Address Line 1 h. Address Line 2 i. City/ State/ Zip Code **Vendor Response (written narrative here):**				
RD 3.3.2-08	Sheriff Sale Docket Entry Appraisal/ Advertising Information Display Display the following fields for entry of a sheriff sale for the case selected: a. Appraisal Group (Dropdown: list of values TBD) b. Date Assigned to Appraisers				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	c. Appraisers Selected/ Updated (three, entry for each): i. Initials ii. Last/First Name iii. Appraisal Driver Yes/No iv. Mileage v. Cost vi. Date Property Appraised d. Appraised Value e. Minimum Bid f. Minimum Amount of Deposit g. Advertising Date (with calendar pop-up widget to enable selecting a date) h. Publication Name (Dropdown: Toledo Blade, Other) **Vendor Response (written narrative here):**				
RD 3.3.2-09	Sheriff Sale Docket Entry History/ Cost Information Display 1. Display the following fields for entry of a sheriff sale for the case selected: a. Type/ Docket Codes (Dropdown: list of values TBD) b. Transaction Code (Dropdown: (Mileage, Summons Received, Deed Created) c. Description associated with Transaction Code d. Additional Text (free text) e. Docket Date f. Amount of Cost 2. Create Docket Entry button that saved the data in a docket entry and allows further entry for multiple costs associated with a sheriff sale, and repeat Step 1. 3. When the user completes entry of service costs, display the following fields: a. Total Amount of Costs for this sale b. Total Amount of Payments for this sale c. Balance of Service Costs Due for this sale 4. Case Totals of all costs, payments and balance for the case number **Vendor Response (written narrative here):**				
RD 3.3.2-10	Generate Sheriff Sale Documents: Generate documents of a sheriff sale for the case selected: a. Sheriff Sale Appraisal Form b. Sale Advertising Legal News c. Sale Advertising the Blade d. Sheriff Billing Notice e. Writ of Possession Cover Page f. Sheriff Return Alias Sale g. Sheriff Return Appraisement **Vendor Response (written narrative here):**				
RD 3.3.2-11	Sheriff Sale Docket Entry Deed Information Display 1. Generate a deed for a sheriff sale for the case selected: a. New Deed b. Amended Deed c. Duplicate Deed				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	2. Use the following fields to generate a deed: a. Deed ID (auto-populate) b. Reason (Dropdown: Original, Amended, Duplicate) c. Deed Date d. Confirm Deed Date e. Deputy User ID f. Appraised Date (auto-populated) g. Purchase Amount (auto-populated) h. Sheriff Name (auto-populated) i. Clerk of Court Name (auto-populated) j. Witness #1 Sheriff Clerk Name k. Witness #2 Sheriff Clerk Name l. Buyer Name (may be multiple names) m. Buyer Address (for each buyer listed) **Vendor Response (written narrative here):**				
RD 3.3.2-12	Sheriff Sale Work Load Display -- Unappraised and Unassigned Sale Date 1. Enable the user to see cases with a sheriff sale (defaulting to all cases or selected using one or more of the following criteria), also displaying the total of cases with no Sale Date and the total of unappraised cases (no "Out Date"): a. Cases that have not been sent out for appraisal (based on Foreclosure Type (Dropdown: All, Alias, Delinquent Taxes, Mortgage, Regular) b. Cases based on Sale Type (Dropdown: All, Non-Tax Sale, Tax Sale)) c. Cases that have been a certain Due Date (including a total at the bottom), 2. Display cases with a sheriff sale showing the following fields, sortable by Case Number, Due Date: a. Checkbox (select by case and Select All option) to select a case to be sent out for appraisal and/or set a sale date b. Case Number c. Appraiser Assigned Flag (Yes/No) d. Sale Type e. Foreclosure Type f. Property Address g. Due Date 2. Select one or more cases using a checkbox and enter the following fields: a. Assign Sale Date (with pop-up calendar to select date) including the total selected on that date, and total sales set on that date b. Appraiser Group (Dropdown: list of values of Appraiser Groups) c. Assign Appraisal Date ("Out Date") (with pop-up calendar to select date) **Vendor Response (written narrative here):**				
RD 3.3.2-13	Sheriff Sale Appraiser Results Display 1. Enable the user to select a Sale Date and display for each sheriff sale the following fields: a. Case Number (clicking on the Case Number navigates the user to **RD 1.2-02 Case, Person, Organization Search Results Display** b. Sale Type c. Foreclosure Type				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	d. Property Address e. Three Appraisers Assigned – for each Appraiser show the following fields i. Appraiser Initials ii. Appraiser Name iii. Driver Yes/No (one driver per team of three appraisers) iv. Mileage v. Cost vi. Return Date 2. For a Case Number, enable the user to enter the following fields: i. Appraised Value ii. Appraisers assigned iii. Driver iv. Mileage v. Cost (that appraisers charged) vi. Return date of appraisal **Vendor Response (written narrative here):**				
RD 3.3.2-14	Sheriff Sale Receipt of Funds Display Use the receipting capabilities of **AC 8.1-01 Receipt of Non-Bail Funds Paid in Trust** **Vendor Response (written narrative here):**				

3.4 Link Case Events to Parties and/or Other Events

Business Capability Description

Events occur in cases -- such as a document is filed, or a payment is made (or not made), or a defendant who does not appear for a hearing -- which change the state of the case and of parties. See **1.2 Modify Work Procedures to Respond to Changed Events and Conditions**.

Business Rules

BR 3.4 Self-Represented Litigant (SRL) Status

Court policy may provide that self-represented status of a litigant is determined as of a given time, according to whether an attorney has filed an appearance or withdrawn from representation.
See **BR 1.4-2 Case/ Party States – Action Correlation Table**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.4	Visual Tools for Displaying and Configuring Case/ Party States – Action Correlation **Vendor Response (written narrative here):**				
AC 3.4-01	Register of Actions Case Event Rule Trigger Configure entry of Register of Actions codes to change case status - see case statuses in **RP 1.3.2-1 Person-Level State Alert Examples**, **RP 1.4-2 Case-Level State Alert Examples**.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 3.4-02	Self-Represented Flag Case Event Rule Trigger Fill a data field based upon the value of another data field (e.g., turn off "Self-Represented" flag when an attorney enters an appearance in a case **Vendor Response (written narrative here):**				
AC 3.4-03	Redacted Document Rule Trigger Turns the "Redacted Document" flag on (see **DN 3.6-1 Redacted/ Original Document Flag**) when a filer indicates that a redacted document is being filed. **Vendor Response (written narrative here):**				
AC 3.4-04	Interpreter Notification Case Event Rule Trigger Marking "Interpreter Needed" triggers a notification to the interpreter supervisor **Vendor Response (written narrative here):**				
AC 3.4-05	Warrant Issued Minute Entry Case Event Rule Trigger Add a minute entry to a case record (e.g., add "Warrant issued" when judicial officers signs a warrant) **Vendor Response (written narrative here):**				
AC 3.4-06	Warrant Issued Alert Case Event Rule Trigger Change the state of a case (e.g., "Outstanding Warrant" when warrant issued) **Vendor Response (written narrative here):**				
AC 3.4-07	Order Setting Hearing Case Event Rule Trigger Add a document to the case record (e.g., add order setting hearing when order is signed) **Vendor Response (written narrative here):**				
AC 3.4-08	End of Appeal Period Case Event Rule Trigger Add data to a case record (e.g., add end date of appeal period when judgment is entered) **Vendor Response (written narrative here):**				
AC 3.4-09	Juvenile document Filed Case Event Rule Trigger Seal a document (e.g., pleading added in juvenile case) **Vendor Response (written narrative here):**				
AC 3.4-10	Appeal Alert Case Event Rule Trigger Place alert on case that is being appealed (e.g., entry in Register of Actions of Notice of Appeal) **Vendor Response (written narrative here):**				
AC 3.4-11	Notification of Change in Basic Person Data Case Event Rule Trigger Create a notification to attorneys/ parties when basic information (e.g., address) changes **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.4-12	Stay Proceedings Case Event Rule Trigger When a stay is ordered in a case (i.e., pending the outcome of an action or proceeding outside of the court), notify the clerk to stay the execution of orders pending in the case. See **BR 5.1.6-1 Case Aging Clock.** **Vendor Response (written narrative here):**				
AC 3.4-13	Stay Lifted Case Event Rule Trigger When a stay is lifted, notify the clerk to schedule the appropriate hearing concerning resolution of the matter. See **BR 5.1.6-1 Case Aging Clock.** **Vendor Response (written narrative here):**				
AC 3.4-14	Jury Trial Demanded or Waived When a jury trial is demanded or waived, notify the attorneys/ parties of the new state. **Vendor Response (written narrative here):**				
AC 3.4-15	Court Reporter Required Case Event Rule Trigger When a court reporter is required for hearing a case, notify the court reporter coordinator. **Vendor Response (written narrative here):**				
AC 3.4-16	Judicial Officer Recusal Case Event Rule Trigger When a judicial officer is recused from a case, notify the attorneys/ parties of the new judicial officer assigned to the case. **Vendor Response (written narrative here):**				
AC 3.4-17	Trigger Document Production Generate and print document(s) triggered by a specific event, event outcome, disposition, condition, or set of conditions (rule-based). **Vendor Response (written narrative here):**				

3.5 Annotate Case/ Documents

Business Capability Description

Judicial Officers and clerks make notes about cases and documents which are not part of the public court record. Notes made by judicial officers are confidential as part of the decision-making process and should be visible only to judicial officers and authorized staff – see **6.10 Record Private Judicial Notes** for annotations by judicial officers

Business Rules

BR 3.5 Case/ Document Annotation Guidelines

Court policy may provide a protocol and guidelines for non-judicial staff to make confidential notes on a case and a document.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.5-01	Visual Tools for Displaying Case/ Document Annotations **Vendor Response (written narrative here):**				
AC 3.5-01	Case Note Log Provide a case note log in a case which accepts input from internal users and may be viewed only by authorized personnel. **Vendor Response (written narrative here):**				
AC 3.5-02	Documents and Images in Case Notes Accept and store documents or scanned images as part of the case notes. **Vendor Response (written narrative here):**				

3.6 Redact Documents

Business Capability Description

A judicial officer may direct clerk staff to redact information in documents filed, to protect confidential information contained in the documents, though neither the court, nor the clerk, is required to review documents or exhibits for compliance with the rule on personal identity information.

Business Rules

BR 3.6 Personal Identity Information

SC Amended Rule 138 (M.R. 3140) provides, among other things, that a redacted filing of personal identity information for the public record is permissible and shall only include:

(1) the last four digits of the Social Security or taxpayer-identification number;
(2) the year of the individual's date of birth;
(3) the minor's initials;
(4) the last four digits of the driver's license number;
(5) the last four digits of the financial account number; and
(6) the last four digits of the debit and credit card number.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.6-01	Redacted Document Log For a date range, a list of cases with one or more redacted documents (using the **DN 3.6 Redacted/ Original Document Flag**). **Vendor Response (written narrative here):**				
AC 3.6-01	Redaction of Confidential information Enable redaction of information in documents or exhibits filed with the court. **Vendor Response (written narrative here):**				
AC 3.6-02	Redacted and Original Versions After redaction, the redacted version is available for public access, and the original version is available for access by users with required permission. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 3.6-01	Redacted/ Original Document Flag This flag on a document, set by a clerk manually or automatically in the process of e-filing, indicates that it is a redacted version or is the original version. **Vendor Response (written narrative here):**				

4 Manage Warrants, Temporary Protection Orders (TPO) and Civil Protection Orders (CPO)

4.1 Issue Warrants, Temporary Protection Orders (TPO) and Civil Protection Orders (CPO)

Business Capability Description

Courts issue warrant to compel appearance of persons at court or property for investigation, at the request of the prosecutor or on the court's own initiative. After issuance, warrants are communicated to law enforcement who executes them. Courts also issue Temporary Protection Orders (TPO) and Civil Protection Orders (CPO) which are treated in much the same way.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.1-01	Outstanding Warrant List Report For a date range, and by authorization level for confidential warrants, show a list of outstanding warrants, with date issued, name of defendant, type of offense. **Vendor Response (written narrative here):**				
RD 4.1-02	Served Warrant List Report For a date range, a list of served warrants, with date issued, date served, name of defendant, type of offense. **Vendor Response (written narrative here):**				
RD 4.1-03	Outstanding Temporary Protection Orders (TPO) and Civil Protection Orders (CPO) Report For a date range show a list of outstanding Temporary Protection Orders (TPO) and Civil Protection Orders (CPO), with date issued, expiration date, name of defendant, type of offense. **Vendor Response (written narrative here):**				
RD 4.1-04	Served Temporary Protection Orders (TPO) and Civil Protection Orders (CPO) Report For a date range, a list of served TPOs and CPOs, with date issued, date served, name of defendant, type of offense. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.1-01	Warrant and Protection Order Types Enable judicial signature and issuance of the following types of warrants and protection orders: bench warrants (and summons) for failure to appear or comply in court cases, and arrest warrants, summonses, search warrants, pen registers, protection orders, emergency detention orders, Issue Warrants, Temporary Protection Orders (TPO), and Civil Protection Orders (CPO), etc., for cases. **Vendor Response (written narrative here):**				
AC 4.1-02	Warrants and Protection Orders for Multiple Cases Issue a single warrant for a defendant for multiple cases. **Vendor Response (written narrative here):**				
AC 4.1-03	Investigative Documents Provide investigative warrants with their own case numbering system, while bench warrants are issued within existing Court cases. **Vendor Response (written narrative here):**				
AC 4.1-04	Juvenile Warrant Specify who warrant is returnable to, e.g., LCCS, detention. **Vendor Response (written narrative here):**				
AC 4.1-05	Juvenile Summons Provide an intermediate summons step for juveniles. **Vendor Response (written narrative here):**				
AC 4.1-06	Judicial Approval of Warrants Produce a warrant review list and activate the warrant only after approval by judicial officer. **Vendor Response (written narrative here):**				
AC 4.1-07	Confidential Investigatory Documents Seal the (arrest or search) warrant until it is executed. **Vendor Response (written narrative here):**				
AC 4.1-08	Warrant and Other Order Triggers Generate warrants and other orders automatically for defined conditions (e.g., failure to appear, failure to comply, failure to pay, and delinquent actions). once approved by the court, forward information electronically to appropriate agencies and update case and party status (rule-based). **Vendor Response (written narrative here):**				
AC 4.1-09	Warrants and Other Court Orders Enter and maintain judicial summonses, show cause orders, and warrants, including, status, issuance date, type, execution date, and expiration date. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 4.1-01	Warrant Outstanding Flag This flag is automatically turned on ("Outstanding") when the warrant is issued, and automatically turned off when the warrant is served or quashed/ recalled, through business rule (see Case Event Rule Triggers in **3.4 Link Case Events to Parties and/or Other Events**). **Vendor Response (written narrative here):**				
DN 4.1-02	Protection Order Flag This flag is automatically turned on ("Outstanding") when the Temporary or Civil Protection Order is issued, and automatically turned off when the protection order is served or quashed/ recalled, or expires through business rule (see Case Event Rule Triggers in **3.4 Link Case Events to Parties and/or Other Events**). **Vendor Response (written narrative here):**				

4.2 Quash/ Recall Warrants, Temporary Protection Orders (TPO) and Civil Protection Orders (CPO)

Business Capability Description

Courts quash/ recall warrants at the request of the prosecutor, and Temporary Protection Orders (TPO) and Civil Protection Orders (CPO) when they expire.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.2-01	Quashed/ Recalled Warrant List Report For a date range, a list of quashed/ recalled warrants, with date issued, date quashed/ recalled, name of defendant, type of offense. **Vendor Response (written narrative here):**				
RD 4.2-02RD	Expired Outstanding Temporary Protection Orders (TPO) and Civil Protection Orders (CPO) Report For a date range show a list of outstanding Temporary Protection Orders (TPO) and Civil Protection Orders (CPO) which have passed the expiration date, with date issued, expiration date, name of defendant, type of offense. **Vendor Response (written narrative here):**				
AC 4.2-01	Clear Warrants Enable withdrawing, dismissing, and clearing warrants individually and in batches. **Vendor Response (written narrative here):**				
AC 4.2-02	Correct Warrants Enable modifying active warrants that includes generating a correction notice to law enforcement agencies that enter the warrants into state or national databases. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.2-03	Cancel Warrants When a case is disposed, cancel warrant and notify sheriff and state repository. **Vendor Response (written narrative here):**				
AC 4.2-04	Quash Expired Temporary Protection Orders (TPO) and Civil Protection Orders (CPO) **Vendor Response (written narrative here):**				

4.3 Monitor/ Manage Warrant Status

Business Capability Description

Courts, in cooperation with the prosecutor, monitor warrant age and status, as the increasing age of a warrant may make execution less likely.

Business Rules

BR 4.3 Annually Review Warrants

Court policy may provide for annual review of warrants, in cooperation with the Prosecutor.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.3-01	Warrant Audit and Quality Control Reports For a date range, a list showing warrants that have not been served, returned, or quashed within a configurable number of years, suitable for use during Annual Warrant Review. **Vendor Response (written narrative here):**				
AC 4.3-01	Warrant Alerts Place an alert on the case and on the person that a warrant for their arrest is currently active. See warrant example in **RP 1.3.2-1 Person-Level Alert Examples** **Vendor Response (written narrative here):**				
AC 4.3-02	Warrant Fee Alert Place an alert on a case if a warrant fee should be added upon conviction. This alert should remain in place, even if the warrant is cleared. **Vendor Response (written narrative here):**				
AC 4.3-03	Batch Expungement of Warrants Provide a batch expungement process that requires a supervisor approval. **Vendor Response (written narrative here):**				
AC 4.3-04	Batch Clearance of Old Warrants Allow users to clear batches of warrants in one step, based on certain parameters, such as the age of the warrant. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 4.3-01	Interface for Sharing Warrant Information The warrant interface provides the warrant, modified warrant, and other warrant and protective order activity to the Sheriff's office for entry on state and national warrant systems. **Vendor Response (written narrative here):**				
DE 4.3-02	Interstate Compact Interface The warrant interface provides warrant information to interstate justice organizations. **Vendor Response (written narrative here):**				

5 Schedule Events and Resources

5.1 Configure Calendars

5.1.1 Relate Judicial Officers and Staff to Courtrooms, Case Categories, and Other Resources

Business Capability Description

When scheduling cases to Court Sessions, courts coordinate their courtroom resources with the needs to hold a variety of court events, e.g., jury courtrooms, courtroom staffs, interpreters, court reporters, equipment.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.1	Resource Schedule Display For a date range, by court resource type, or by judicial officer/ courtroom, show the court resources scheduled for court events. **Vendor Response (written narrative here):**				
AC 5.1.1-01	Scheduling Judicial Resources Define specific courtroom slots by day of the week for individual judicial officers, by division/ case type. **Vendor Response (written narrative here):**				
AC 5.1.1-02	Courtroom Staff Define specific courtroom slots by day of the week for individual courtroom staff, by division/ case type for courtroom staffs, interpreters, court reporters. **Vendor Response (written narrative here):**				
DN 5.1.1-01	Resource Availability Table Court/ clerk staff updates this table to maintain availability information on persons and resources, e.g., jury courtrooms, courtroom staffs, interpreters, court reporters, equipment. **Vendor Response (written narrative here):**				

5.1.2 Maintain Business Rules for Adding Cases to Court Sessions

Business Capability Description

Courts set up a variety of courtroom Court Sessions, follow a set of rules of adding cases to them.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.2-01	Visual Tools for Adding and Updating Business Rules **Vendor Response (written narrative here):**				
AC 5.1.2-01	Court Sessions Allow users to set up Court Sessions for each judicial officer/ adjudicator for each day, with parameters that will determine which cases are auto-scheduled and manually scheduled to fill that calendar call. This includes magistrate mediation hearings. **Vendor Response (written narrative here):**				
AC 5.1.2-02	Establish Calendar Categories Establish fixed time periods on the calendar for certain types of cases or matters on a weekly or monthly basis. This includes court Court Sessions and mediation hearings. **Vendor Response (written narrative here):**				
AC 5.1.2-03	Auto-Scheduling of Cases Configure the auto-scheduling function to fill court Court Sessions according to a set of parameters provided for the calendar call, e.g., age of case, type of hearings, attorney cases, interpreter needed, attorney blocks, officer blocks, maximum number of cases allowed. **Vendor Response (written narrative here):**				
AC 5.1.2-04	Scheduling Blocks Define standard working hours and designate non-working hours, such as weekends and holidays on calendars. Also, block administrative time for judicial officers for meetings, conferences, etc. at a local or state level. **Vendor Response (written narrative here):**				
AC 5.1.2-05	Mark Calendar as Closed Ability to mark calendar as closed, and when user adds calendar item, the system alerts user and allows override. **Vendor Response (written narrative here):**				
AC 5.1.2-06	Judicial Review of Pretrial Notices Select cases that are ready for scheduling of the pretrial conference, and generate a list for review and approval by the presiding judicial officer. Once the approval is provided, the notices should be printed with signature affixed. **Vendor Response (written narrative here):**				
AC 5.1.2-07	Bench/ Jury Trial Dates Automatically count days and give pre-calculated cut off dates and hearing dates based on bench trial/jury selection and trial date rules. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.1.2-08	Terminology in Juvenile Delinquency Cases Enable use of juvenile delinquency terminology in calendaring cases which have much the same structure as criminal cases, but the names of events are different: ***Criminal*** / ***Juvenile Equivalent*** Bail/custody hearing / Detention hearing Pretrial conference / 1st adjudicatory hearing Trial / 2nd adjudicatory hearing Guilty plea / Admission Finding of guilt / Finding of delinquency Pre-sentence investigation / Pre-disposition investigation Sentencing / Disposition **Vendor Response (written narrative here):**				

5.1.3 Create Case Scheduling Order

Business Capability Description

Judges perform case management by issuing a scheduling order in a case which calendars multiple scheduled events to one case at the same time (e.g., a pretrial order schedules deadlines for multiple case events).

Business Rules

BR 5.1.3-01 Initial Pretrial Order

Lucas County Local Rules 5.06 Pretrial Conferences, requires in Section D:
At the conclusion of the initial pretrial conference, a binding case management schedule shall be established and stated in a pretrial order approved by the trial judge. At a minimum, the pretrial order shall consider:

1. The disclosure of all fact witnesses sixty days before the trial date, and a date for the disclosure of all expert witnesses and their reports.
2. A date for the filing of dispositive motions.
3. A date for the completion of discovery.
4. A date for the filing of any trial briefs and requested jury instructions.
5. A date for a final pretrial conference.
6. The trial date.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.3-01	Compliance with Initial Pretrial Order Goals For a case, this display shows graphically how well the case is meeting the time goals established in the Initial Pretrial Order. **Vendor Response (written narrative here):**				
RD 5.1.3-02	Compliance with Pretrial Order Goals Display For a case, this display shows graphically how well the case is meeting the time goals of the Pretrial Order. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.1.3-01	Produce Pretrial Order Enable the user to select dates for all of the Pretrial Order deadlines in **BR 5.1.3-**01, calendar them at once instead of one-by-one, generate a Pretrial Order, print or electronically serve the order, and record the order and service in the ROA. **Vendor Response (written narrative here):**				

5.2 Search/ Assign Case Events to Calendars

5.2.1 Schedule Cases to Court Sessions

Business Capability Description

Courts schedule case events to courtroom Court Sessions or to mediation hearing. When a court event is scheduled, it is by definition “docketed” and “calendared.”

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.1-01	Court Session Display For a date range, display by judicial officer/ courtroom the cases scheduled for court session, showing case number, attorneys, parties, case status, case type. **Vendor Response (written narrative here):**				
AC 5.2.1-01	Schedule Court Event – Select Parties and Participants When scheduling a court event, enable selection of parties (default to include attorneys and unrepresented parties for most settings), and participants associated with the case, to be notified about a court event. (For example, a police officer witness would not receive a notice for a pretrial hearing, but would be notified of a trial.) **Vendor Response (written narrative here):**				
AC 5.2.1-02	Enable scheduling linked cases to the same court session, and updating those cases with the new court date with a single entry. **Vendor Response (written narrative here):**				
AC 5.2.1-03	Enable scheduling jury trials (and other hearing types, including mediation hearings) manually, including required service date and notice requirements if any, automatically generating a minute entry showing details of the scheduled event. **Vendor Response (written narrative here):**				
AC 5.2.1-04	Prompt for Overlapping Event Allow displaying a prompt when a user attempts to schedule an event that overlaps an existing event in another calendar for a case, user, participant, or resource. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2.1-05	Next Available Date Provide automated searching for the next available date and time when all parties, participants, and resources are available, returning a choice of dates. **Vendor Response (written narrative here):**				
AC 5.2.1-06	Tentative Self-Scheduling Allow a plaintiff to check court call availability for one or more cases and temporarily reserve them. **Vendor Response (written narrative here):**				
AC 5.2.1-07	Special Scheduling Needs Designate cases with special scheduling needs (e.g., interpreter, disabilities). **Vendor Response (written narrative here):**				
AC 5.2.1-08	Automated Scheduling Schedule certain events and recurring events automatically, based on user-defined parameters, with reminders to parties and participants. **Vendor Response (written narrative here):**				
AC 5.2.1-09	Use Time Standards to Assign Events to a Schedule Display pre-disposition and post-disposition time standards to set time precedence and assist in court scheduling. **Vendor Response (written narrative here):**				

5.2.2 Cancel Court Events, Move or Reschedule Single or Multiple Cases and Court Dockets

Business Capability Description

Courts cancel individual court events, and reschedule single or multiple cases and entire court dockets.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.2-01	Visual Tools for Rescheduling Court Events **Vendor Response (written narrative here):**				
AC 5.2.2-01	Canceling or Rescheduling Hearings Cancel or reschedule a hearing and generate the appropriate notices. **Vendor Response (written narrative here):**				
AC 5.2.2-02	Multi-Day Scheduling Schedule an event over multiple days. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2.2-03	Mass Reassignment Reassign a group of pending events from one judicial officer, courtroom, or date to another as a group (not case by case). **Vendor Response (written narrative here):**				

5.2.3 Maintain or Consult Schedules of Case Parties/ Participants for Conflict Management

Business Capability Description

Courts avoid schedule conflicts when they have information about other time commitments of parties and participants.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.3	Pending Trials Involving Police officers Report the number of cases that are pending for each officer, to facilitate the efficient use of court and law enforcement resources. **Vendor Response (written narrative here):**				
AC 5.2.3-01	Attorney Calendar Conflicts Identify scheduled court events involving an attorney in Court when scheduling a hearing in a different case. **Vendor Response (written narrative here):**				
AC 5.2.3-02	Scheduling Assistance Analyze scheduling parameters and party schedules, providing the next appropriate date, time, and location for a scheduled event. **Vendor Response (written narrative here):**				
DE 5.2.3-01	Police officer Trial Schedules Consider police officer schedules when selecting trial dates for cases. **Vendor Response (written narrative here):**				

5.2.4 Manage Case Management Track

Business Capability Description

Judicial Officers perform case management, including assigning cases to a case management track (broadly defined as its likely route to most efficient and effective resolution) or changing the track assignment, based on its characteristics. Also see **1.3 Add Case to Track/ Triage Cases.**

Business Rules

BR 5.2.4 Case Management Order

Court rule requires judicial officers to court hold a case management conference within XX days after the parties are at issue and in no event more than XX days following the filing of the complaint.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.4-01	Compliance with Case Management Goals For a case, this display shows graphically how well the case is meeting the time goals established in the case management order **Vendor Response (written narrative here):**				
RD 5.2.4-02	Compliance with Track Goals Display For a case, this display shows graphically how well the case is meeting the time goals of the track it is assigned to. **Vendor Response (written narrative here):**				
AC 5.2.4-01	Produce Case Management Order Depending on case type, and using the date of the initial case management conference as a basis, fill in dates for Track1, Track 2 and Track 3, for the case management event deadlines and trial date appropriate for the case. See **Vendor Response (written narrative here):**				
AC 5.2.4-02	Assess Performance According to Case Management Order Present a graphical display of the expected progress of a case on a track showing the actual milestones of a particular case for comparison. See **RD 5.1.4-2 Compliance with Track Goals Display**. **Vendor Response (written narrative here):**				
DN 5.2.4-01	Case Management Events For each case type, a matrix of case management events contains dates by which those events should occur, working backward from the presumed trial date.: **Vendor Response (written narrative here):**				

5.2.5 Schedule Other Courtroom Resources

Business Capability Description

Courts schedule other resources needed for court events -- interpreter, court reporter, equipment – for court hearings based on needs noted for a case.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.5-1	Visual Tools for Scheduling Resources **Vendor Response (written narrative here):**				
AC 5.2.5-01	Accommodating Special Needs Enter special needs requested by individuals (e.g., interpreter - including language needed, accommodation for a disability) and print needs on the calendar for court use only. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2.5-02	Change Interpreter Needed Status Allow user to change interpreter-needed status **Vendor Response (written narrative here):**				
AC 5.2.5-03	Relate Interpreter to Hearing Indicate that an interpreter for a given language is needed for a participant for an event or activity. **Vendor Response (written narrative here):**				
AC 5.2.5-04	Notify Interpreter Notify interpreter or coordinator of the status of a scheduled event where a case participant needs an interpreter in a given language. **Vendor Response (written narrative here):**				
AC 5.2.5-05	Notify Court Reporter Notify court reporter coordinator of reporting needs for a scheduled event. **Vendor Response (written narrative here):**				
AC 5.2.5-06	Online Reservation of Court IT/A-V Equipment Notify the Court IT department of equipment needs for a scheduled event. **Vendor Response (written narrative here):**				

5.2.6 Comply with Legal Deadlines

Business Capability Description

Courts comply with deadlines and case disposition time standards imposed by law or court rule, e.g., speedy trial, time standards by case type, case management track deadlines.

Business Rules

BR 5.2.6-01 Case Aging Clock

Court policy may specify the events that start, stop and restart a case aging clock, by case type.

BR 5.2.6-02 Speedy Trial

Ohio Revised Statute 2945.71 Time for trial, provides I (C)(1) that a defendant with a pending felony "shall be accorded a preliminary hearing within fifteen consecutive days after the person's arrest if the accused is not held in jail in lieu of bail on the pending charge or within ten consecutive days after the person's arrest if the accused is held in jail in lieu of bail on the pending charge," and (2) "Shall be brought to trial within two hundred seventy days after the person's arrest." (emphasis added)

BR 5.2.6-03 Decisions Taken Under Advisement

Court policy may specify that motions and case decisions be decided and an opinion issued within a given number of days from the date the case was taken under advisement, or within a given number of days from the date allotted for receipt of final written arguments or memoranda if requested by the parties or directed by the court, whichever is later.

BR 5.2.6-04 Case Aging Clock Stops for Bankruptcy

Statute requires that, upon receipt of a stay of proceeding from a United States Bankruptcy Court for a case, the case is transferred to the Bankruptcy Calendar, and the case is not considered a pending case, i.e., the case aging clock stops.

BR 5.2.6-05 Case Aging Clock Restarts after Bankruptcy Stay Lifted

Court rule may require that, upon release or vacation of a bankruptcy stay, the case is transferred to the active calendar, and the case is considered a pending case, i.e., the case aging clock restart.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.6-01	Case Aging Clock Display For a case a timeline of events that start, stop and restart the case aging clock, with a calculation of the case age. **Vendor Response (written narrative here):**				
RD 5.2.6-02	Speedy Trial Report For a date range, filterable by prosecutor, case type, custody status, and range of number of days before speedy trial runs, list: Case Number, Defendant, Prosecutor, Case Age, Case Category. **Vendor Response (written narrative here):**				
RD 5.2.6-03	Critical Case List For a date range, listing of cases by type which are near or have exceeded Supreme Court time standards for such cases. **Vendor Response (written narrative here):**				
RD 5.2.6-04	Decisions Taken Under Advisement Report For a date range, listing of cases having matters held under advisement by the judicial officer, with the number of days since being placed in a work queue. **Vendor Response (written narrative here):**				
RD 5.2.6-05	Cases Transferred to the Bankruptcy Calendar For a date range list all cases transferred to the Bankruptcy Calendar for more than 12 months, in order to determine whether cases should remain on the calendar, be dismissed, or reinstated as active cases. **Vendor Response (written narrative here):**				
AC 5.2.6-01	Time Standards for Case Events Configure time standards at the event and case levels for each specific case type and measure compliance. **Vendor Response (written narrative here):**				
AC 5.2.6-02	Time Standards Excluding Weekends and Holidays Include and exclude weekends and holidays within time standard calculations according to court business practices. **Vendor Response (written narrative here):**				
AC 5.2.6-03	Assert or Waive Speedy Trial Change the status of a case regarding statutory time standards (e.g., criminal defendant requests a continuance and waives speedy trial, stopping the speedy trial Case Aging Clock). **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2.6-04	Time Standard Exceeded Alert user if a scheduled event date exceeds the mandated time standard.				
AC 5.2.6-05	Time Standard Status Display the status of case with respect to its time standards. **Vendor Response (written narrative here):**				
AC 5.2.6-06	Decisions under Advisement Track motions and court decisions under advisement and approaching deadlines, supported with queries, reports, tickles, and alerts. **Vendor Response (written narrative here):**				
DN 5.2.6-01	Time Standards Table Time standards are listed by case type/ subtype for reference by business rules and reports. **Vendor Response (written narrative here):**				
DN 5.2.6-02	Speedy Trial Case History This history of a case is updated automatically by event codes affecting the <Case Clock> (see **BR 5.2.6-01 Case Aging Clock**), or manually when a judicial officer orders the case clock to be stopped or started. **Vendor Response (written narrative here):**				
DN 5.2.6-03	Decision Taken Under Advisement Case History This history of a case is updated automatically by event codes involving decisions taken under advisement (e.g., motion decision, case decision), or manually when a judicial officer requests final written arguments or memoranda from the parties before decision will be rendered. **Vendor Response (written narrative here):**				

5.2.7 Prepare for Jury Trial

Business Capability Description

Courts request jurors for a trial, and gather and use a variety of data entered, historical information and derived metrics to estimate the number of prospective jurors needed for trial.

Business Rules

BR 5.2.7-01 Judicial Estimate of Jurors Requested

This calculation uses a history of all Judges during a date range, by Judge and by case type, of the number of jurors requested, and the number of jurors who went through voir dire on those cases. The Judicial Estimate of Jurors Requested is the ratio, by case type, of the number of jurors requested by a Judge for all trials during a date range, divided by the number of jurors who went through voir dire on those cases. See **D.R. 5.2.7 History of Juror Requests by Judges**

For example, for a case type, if a Judge requests 30 jurors and 26 go through voir dire, the Estimate of Juror Request ratio for this instance is 1.15 (30/26).

BR 5.2.7-02 Judge Go-to-Jury-Trial Ratio

The Judge Go-to-Jury-Trial calculation is the ratio, by case type, of the number of cases for which jurors are requested that actually reach the point of conducting voir dire (i.e., are not settled, dismissed or pled), compared to the total number of cases for which jurors are requested. For example, for a case type, if a Judge goes to voir dire in 75% of the cases set for trial, the Judge Go-to-Jury-Trial ratio is 75%.

BR 5.2.7-03 Attorney Go-to-Trial Ratio

The Attorney Go-to-Jury-Trial is the ratio, by case type, of the number of cases for which the attorney is lead counsel and jurors are requested that actually reach the point of conducting voir dire (i.e., are not settled, dismissed or pled), compared to the total number of cases for which jurors are requested. For example, for a case type, if an attorney goes to voir dire in 75% of the cases set for trial, the Attorney Go-to-Jury-Trial is 75%.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.7-01	List of Expected Jury Trials By date range, by Judge name, this shows the following information for a case: • Case number • Case type • Normal panel size • Number of jurors requested • Attorney names (lead counsel for each party) • Judicial Estimate of Jurors Requested • Judicial Go-to-Jury-Trial Ratio • Judicial Estimate of Trial Length • Attorney Go-to-Trial Ratio. **Vendor Response (written narrative here):**				
AC 5.2.7-01	Judge Request for Jurors Notification A Judge Request for Jurors notification will include the following items of information: a. Judge name / Court(room) b. Case number c. Case name (lead plaintiff and lead defendant) d. Case type or first offense charge (use NCSC Statistical Guide categories) e. Special Circumstances (Dropdown: High-profile, Multiple Defendants, Complex Civil) f. Number of jurors needed – standard panel for the case type, or special request g. "Stacking" number – 1st in line for trial, 2nd, etc. h. Backup judge available flag Yes/ No (in case more than one jury trial proceeds) i. Start date/ time of trial j. Estimated trial length (accurate to half-days) k. Estimated length of voir dire (accurate to half-days) l. Lead opposing counsel m. Whether this is a retrial and, if so, which number **Vendor Response (written narrative here):**				
AC 5.2.7-02	Maintain a history of all judges, by judge, and by case type, of the number of jurors requested, and the number of jurors who went through voir dire on those cases. See **BR 5.2.7-1 Judicial Estimate of Jurors Requested** and **D.R. 5.2.7-2 Judicial History of Jurors Requested**. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2.7-03	Maintain a history of all judges, by judge, and by case type, of the number of cases for which jurors are requested that actually reach the point of conducting voir dire (i.e., are not settled, dismissed or pled), compared to the total number of cases for which jurors are requested. See **BR 5.2.7-2 Judicial Go-to-Jury-Trial Ratio**. **Vendor Response (written narrative here):**				
DN 5.2.7-01	History of Jurors Requested This history maintains information about cases, by Judge, case type and date, of (a) the number of jurors requested, and (b) the number of jurors who went through voir dire on those cases. **Vendor Response (written narrative here):**				
DN 5.2.7-02	Judicial Estimate of Jurors Requested This data field is completed by jury administration who enters the number of jurors requested by case, received by phone or other communication. **Vendor Response (written narrative here):**				
DN 5.2.7-03	Judicial Estimate of Trial Length This data field is completed by jury administration who enters the estimated trial length by case, received by phone or other communication. **Vendor Response (written narrative here):**				
DN 5.2.7-04	Estimate of Juror Needs and Actual Numbers of Jurors Used These data fields track by trial date, as follows: • The numbers of jurors estimated (see **DN 5.2.7-5 Estimate of Juror Needs for Next Report Date**), • The numbers of jurors who checked in (see **DN 2.1.1 Checked-In Jurors – Juror Check-In Flag)**, and • The numbers of jurors sent to a courtroom (see **DN 2.4.4 Jurors Sent to a Courtroom**). **Vendor Response (written narrative here):**				
DN 5.2.7-05	Judge Go-to-Trial Ratio The Judge Go-to-Jury-Trial Ratio is a calculation (see **BR 5.2.7-3 Judge Go-to-Jury-Trial Ratio**) **Vendor Response (written narrative here):**				
DN 5.2.7-06	Attorney Go-to-Trial Ratio The Attorney Go-to-Jury-Trial Ratio is a calculation (see **BR 5.2.7-5 Attorney Go-to-Jury-Trial Ratio**) **Vendor Response (written narrative here):**				

5.3 Publish/ Display Calendars

Business Capability Description

Courts publish and display publicly calendars of court Court Sessions, showing cases to be heard at a date/ time.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.3-01	Provide Visual Tools to Display and Print Calendars **Vendor Response (written narrative here):**				
RD 5.3-02	Graphical View of Calendar Provide graphical views of the calendar. **Vendor Response (written narrative here):**				
RD 5.3-03	Calendar Show Aliases Option of showing aliases for defendant and related cases on calendar. **Vendor Response (written narrative here):**				
RD 5.3-04	Electronic Calendar Display Present court calendar data for publishing on the court's website and for electronic display in courthouse lobby. **Vendor Response (written narrative here):**				
RD 5.3-05	Calendar Display Select a displayed time slot/calendar call on the online calendar view for greater detail about the scheduled events for that calendar call. **Vendor Response (written narrative here):**				
RD 5.3-06	Calendar Views View daily, weekly, and monthly schedules online or in printed format, including available and scheduled time slots. **Vendor Response (written narrative here):**				
DE 5.3-01	Export Calendar Data Download calendar items into standard calendar programs and systems, such as MS Outlook. **Vendor Response (written narrative here):**				

5.4 Notify Parties

Business Capability Description

Courts notify parties and participants (e.g., law enforcement officers, probation officers, attorneys representing parties, interpreters, case workers, a designated mediator or arbitrator, a guardian ad litem (GAL), a court-appointed special advocate (CASA), a fitness-for-trial psychological evaluator) of court events or orders, and if events are canceled.

Business Rules

State statutes and court rules specify notice requirements

Req. #	**Requirement**	**Response Code**			**Estimated Hours to Customize**
		I	**C**	**N**	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.4-01	List of Notice Given for Hearing For a case for a date range, a list of parties/ participants with a check mark for persons to be notified, or have been notified, with the type of notice (e.g., email, e-filing, paper). **Vendor Response (written narrative here):**				
AC 5.4-01	Produce Notices/ Notifications on Demand When a case schedule is updated manually, the user may print notices immediately, and the Register of Actions is updated automatically as a result of that action. For parties and participants who are an Electronic Filing Party the notice will be sent electronically rather than printed. **Vendor Response (written narrative here):**				
AC 5.4-02	Mark Hearings for Which Notices Have Been Produced If notices are printed manually, the case should be marked so that the notices will not be printed again in a batch run. If the notices were not printed manually, then they should be printed during a batch run. **Vendor Response (written narrative here):**				
AC 5.4-03	Select Parties/ Participants for Notices/ Notifications The clerk has the option to select all and to deselect parties/ participants in a case to receive notices/ notifications. **Vendor Response (written narrative here):**				
AC 5.4-04	Electronic Notification Enable e-mailing notices to attorneys and others who sign up for electronic notification, and the Register of Actions is updated automatically as a result of that action. **Vendor Response (written narrative here):**				
AC 5.4-05	Cancel Scheduled Event If a case comes off the calendar, save canceled events in a Deleted Docket Events Table (see **DN 5.4-02 Deleted Docket Events Table**) and provide notices to parties, participants and resources that they are no longer needed in a manner similar to **AC 5.4-01 Produce Notices/ Notifications on Demand**. **Vendor Response (written narrative here):**				
AC 5.4-06	Notice Parents of Hearing Provide optional noticing of parents. **Vendor Response (written narrative here):**				
AC 5.4-07	Email Messages Generate and send automated email messages. **Vendor Response (written narrative here):**				
AC 5.4-08	Text SMS Text Messages Generate and send automated text messages if Texting Permission Granted Flag is on. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 5.4-01	Arresting Officer Court Date Change Notification This data exchange to the Sheriff's records management system notifies the arresting officer of the new date/time of a court date, including officer badge number, defendant name, case number and court appearance information. **Vendor Response (written narrative here):**				
DE 5.4-02	Prosecution Court Date Change Notification This data exchange to the Prosecution's case management system notifies the Prosecution of the new date/time of a court date in a Public Defender case, including case number, defendant name, type of notification (add, modify or delete) as well as court appearance date, time, courtroom. **Vendor Response (written narrative here):**				
DN 5.4-01	Texting Permission Granted Flag This flag is turned on if a party/ participant given written permission to receive text messages. **Vendor Response (written narrative here):**				
DN 5.4-02	Deleted Docket Events Table This table contains canceled docket events in order to notify parties, participants and resources that they are no longer needed. Fields include event date/time, event type, case number. **Vendor Response (written narrative here):**				

6 Conduct Hearings

6.1 Manage Hearing/ Courtroom Activities

Business Capability Description

Courts, assisted by courtroom staff, prepare for and manage hearings by viewing the case record/ reason for the hearing, viewing the list of cases and attorneys scheduled to appear, and having parties and participants check in at the beginning. See **RP 6.1 Recommended Practices** for judicial screen displays.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.1-01	Judicial Officer's Quick View of a Case Provide means by which judicial officers can quickly identify cases and matters within the case to review or decide, and navigate through the associated screens (and related, associated and consolidated cases) to locate the information and documents they need. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.1-02	Calendar Call Report For a given date/ time, by judicial officer/ courtroom number, the report shows the cases set for a calendar call (able to be ordered by case number/ case age, by case title/ defendant name and alias, or by attorney), showing case number, subtype, case title/ defendant name, filed date, last court appearance, first event, attorney name. **Vendor Response (written narrative here):**				
RD 6.1-03	Trial Call Report For a given date/ time or date range, by judicial officer/ courtroom number, the report shows the cases set for a trial call, showing case number, case title/ defendant name, subtype, type of event scheduled, attorneys on the case with their phone number, non-confidential judicial officer notes. **Vendor Response (written narrative here):**				
RD 6.1-04	Periodic Trial Call Summary Report For a given date range, by judicial officer, the report shows the numbers and percentages of cases set for trial during the period, in the following four categories (the sum of percentages equaling 100%): (1) Continuances Granted: 7+ days before trial, 6 days of less before trial, day of trial, and total continuance (2) Removals: by reassignment to another judicial officer, for mediation, and total removals (3) Dismissals: before trial, day of trail, and total dismissals (4) Trials: jury waived, judgment before verdict, judgment by verdict, mistrial declared, and total trials **Vendor Response (written narrative here):**				
RD 6.1-05	Charges and Dispositions by Name For a given person and a date range, the report shows charges with the case number, name, DOB, judicial officer, arresting agency, offense date, status of charge, description of charge, disposition. **Vendor Response (written narrative here):**				
RD 6.1-06	Active Case List For a given date range, by judicial officer, the report shows active cases, including title, case type/ subtype, age, attorneys or firms, next scheduled event date, and time since last activity, with the ability to sort and filter on any field. **Vendor Response (written narrative here):**				
RD 6.1-07	Display “Check-in” and “Ready for Hearing” Indicators Display to the judicial officer the indicators checked by courtroom staff that one or both parties or attorneys are checked in and ready for the scheduled hearing. **Vendor Response (written narrative here):**				
AC 6.1-01	One-Stop-Shopping Navigation. Simultaneously view multiple cases, events, calendars, etc., without having to open and close windows and screens. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.1-02	Multiple Image Viewing Allow for multiple images (e.g., documents) to be viewed simultaneously. **Vendor Response (written narrative here):**				
AC 6.1-03	Hearing Type for Each Case Type Support hearing type for each type of calendar call/ hearing, e.g., juvenile court, bond court, arraignment court, drug court, mediation. **Vendor Response (written narrative here):**				
AC 6.1-04	Calling Cases Allow the clerk to sort the Register of Actions alphabetically, by case age, by attorney, by police officer, or by case number, or to allow cases to be called in the order in which they arrive in court. It should allow a default order to be set for each judicial officer. **Vendor Response (written narrative here):**				
AC 6.1-05	Marking Completed Cases Display cases in the calendar call and as each hearing is completed, the case will disappear from the list or be otherwise marked as completed. **Vendor Response (written narrative here):**				
AC 6.1-06	Completing Court Sessions Court Sessions should be managed by courtroom deputy clerk, with calendar call closing capability, to ensure that the judicial officer completes all matters, including those taken under advisement. **Vendor Response (written narrative here):**				
AC 6.1-07	Touch Screen Interface for Judicial Officers Support the use of touch screen monitors for judicial officers and certain other functions for which custom screens are developed. **Vendor Response (written narrative here):**				
AC 6.1-08	Display Photo Display the defendant's photo if available on a main profile screen or detail / demographic screen. **Vendor Response (written narrative here):**				
AC 6.1-09	Check-in Flag Enable courtroom staff to check a party or attorney in, i.e., indicate that the person has arrived for the hearing, which is visible to the judicial officer. **Vendor Response (written narrative here):**				
AC 6.1-10	Ready-for-Hearing Flag Enable courtroom staff to indicate for a scheduled hearing that one or both parties or attorneys are ready to participate in a hearing, which is visible to the judicial officer. **Vendor Response (written narrative here):**				

6.2 Record Hearing Results

Business Capability Description

Courtroom staff members (bailiffs) record (via minute entries) who was in attendance at court hearings, what happened, and the results of court hearings. The judge reviews the minute entries, electronically signs the document, and saves it in the case record. The event of recording the orders of the court ("journalizing the order") is recorded in the Register of Actions (ROA). Also see **6.11 Produce Documents Containing Results of Hearing**.

Business Rules

BR 6.2-01 Journal Entries

Rules of Superintendence for the Courts of Ohio, Rule 26 Court Records Management and Retention (B)(4) defines "Journal" as a verbatim record of every order or judgment of a court.

BR 6.2-02 Time to Make Journal Entries

Rules of Superintendence for the Courts of Ohio, Rule 7 Filing of Judgment Entries, requires that the judgment entry specified in Civil Rule 58 and in Criminal Rule 32 shall be filed and journalized within thirty days of the verdict, decree, or decision.

BR 6.2-03 Content of Minute Entries vis-à-vis Register of Actions Entries

Court policy may require some particular form and content of minute entries, by case type and type of proceeding, supplementing the information contained in the Register of Actions. Parties and participants in attendance at a court event may be contained in a minute entry.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.2-01	Register of Actions (ROA) Display Display for a case the contents of the Register of Actions, e.g., filings, date/ time and summary of the nature of court events, with a hyperlink to a document filing (journal entry) associated with the ROA entry. **Vendor Response (written narrative here):**				
RD 6.2-02	Minute Entries Display Display for a case or a particular court event the contents of minute entries. NOTE: **APPENDIX 1** CONTAINS THE CRIMINAL CASE INFORMATION FORM (CCIF) WHICH IS CURRENTLY USED. This is intended to illustrate the kinds of data that criminal bailiffs capture during a court session, and the vendor should propose a method to capture similar information. **Vendor Response (written narrative here):**				
RD 6.2-03	Continuances in Case Report Display the continuances in a case, showing the number requested by the parties, and hyperlinks to navigate to documents attached to an ROA entry. **Vendor Response (written narrative here):**				
AC 6.2-01	Real-time Capture of Minutes of Court Proceedings Provide minute entry generation at the time of the hearing as the judicial officer announces the result, using locally-determined event codes and drop-down lists to record and store the outcome of hearings and non-hearing events, including capturing the following kinds of information for all case types: 1. Date/time of calendar 2. Courtroom number 3. Parties/ Participants attending (judge, parties, attorneys, court reporter, police officers, witnesses, interpreters, substitute judicial officer,				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	substitute attorney), and no-shows 4. Setting for the hearing: the motion or other court action that caused the hearing 5. Beginning time of proceeding 6. Advisements (criminal) 7. Statements to the court by the parties 8. Stipulations made by the parties, e.g., plea agreement, agreement by the parties on the issues 9. Recitation of waivers by the parties 10. Outline of evidentiary proceeding: a. Plaintiff's Case: 1) Witness X testifies. 2) Exhibit #1 is received into evidence. 3) Plaintiff rests. b. Defendant's Case: 1) Witness Y testifies. 2) Defendant's Exhibits 2 and are marked and received into evidence. 3) Defendant rests. c. Closing arguments are presented to the Court. 11. Findings of the Court 12. Orders made by the Court as to claims and counts, including date/ time of future hearings 13. Ending time of proceeding **Vendor Response (written narrative here): Vendors must describe how their product enable real-time capture of minutes.**				
AC 6.2-02	Provide an efficient method of entering data in the Criminal Case Information Form (CCIF) journal entry set forth in **Appendix 1**. **Vendor Response (written narrative here):**				
AC 6.2-03	Ability to customize the format of screens and documents for each case type and hearing type. **Vendor Response (written narrative here):**				
AC 6.2-04	Record Results of Mediation Hearing Results include settlement before mediation hearing, default, dismissal, post-hearing settlement. **Vendor Response (written narrative here):**				
AC 6.2-05	Remote Control Allow the clerk to control the judicial officer's monitor from the clerk's computer **Vendor Response (written narrative here):**				
AC 6.2-06	Judicial Officer Review of Clerk Record Allow the judicial officer to see the journal entries and approve them. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.2-07	Capture Waiver of Presence Note waiver of presence in hearings based on case type and hearing type, default set for defendant to be present. **Vendor Response (written narrative here):**				
AC 6.2-08	Continuances Track continuances, the reasons for continuances, the requesting party, and display the total number of continuances per attorney, party, case, and event. See **BR 6.2-1 Continuance Information**. **Vendor Response (written narrative here):**				
AC 6.2-09	Apply Same Minute Entry in Multiple Cases Mark a group of cases from a query and apply the minute entry to all of them. **Vendor Response (written narrative here):**				
AC 6.2-010	Mass Disposition Entry Update each case in a group of cases disposed with the same disposition type on a single screen or with a single transaction. **Vendor Response (written narrative here):**				
AC 6.2-11	Quality Assurance on Mass Case Closures Provide prompts and exception reports if conditions exist that would prevent the closure of cases flagged for batch disposition. This process must identify the issue and provide the user the opportunity to correct it. **Vendor Response (written narrative here):**				
DN 6.2-01	Trial Continuance Case History A history of trial continuances will contain, by case number, the party requesting a continuance, the moving attorney name, a reason from the following list (Illness of Client or Witness, Illness of Attorney, Witness Unavailable, Client Unavailable, Attorney Unavailable, Judicial Officer Unavailable, Service Not Complete, Motions Pending, Discovery Not Complete, Unresolved Rule 213 Issues, Scientific Evidence Not Complete, Not Reached on the Trial Call, Other – Specify), and whether the motion to continue trial is granted or denied. **Vendor Response (written narrative here):**				

6.3 Create Court Record (Audio, Verbatim)

Business Capability Description

Courts create a verbatim record of proceedings in some cases through a court reporter. Courtroom staffs record which court reporter was in attendance at which hearings – see **6.2 Record Hearing Results/ Minutes of What Transpired.**

Business Rules

BR 6.3-01 Transcript of Proceedings

Court rule may require that transcripts prepared by an official court reporter of a court proceeding be filed with the Clerk of Court and become part of the court file, and a copy be given to the person requesting the transcript.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.3-01	Case Data Display for Court Reporter Use in Creating Verbatim Record of Proceedings For a particular court event, a summary of party names and participants (e.g., attorneys, victims, witnesses, officers, case workers) involved in a case, suitable for copy/ paste into another application (to avoid retyping the data). **Vendor Response (written narrative here):**				
RD 6.3-02	Court Reporter Case History For a date range, list the cases reported by a court reporter. **Vendor Response (written narrative here):**				
AC 6.3-01	File Electronic Copy of Transcript Configure court reporters as non-party electronic document filers with authority to file a verbatim transcript as a sealed document. **Vendor Response (written narrative here):**				
AC 6.3-02	Verbatim Transcript Request Record that a person requested a transcript in a given case, the requester's name and contact information, the date of the request, and the date fulfilled. **Vendor Response (written narrative here):**				
DE 6.3-01	Download of Case/ Hearing data for Court Reporter Enable export of case and hearing data to the court reporter to assist in preparing the transcript. **Vendor Response (written narrative here):**				
DN 6.3-01	Verbatim Transcript History A history of verbatim transcript requests will contain, by court reporter or by attorney, the case number of the request, the date, court reporter name, the party and attorney requesting a transcript, the date completed. **Vendor Response (written narrative here):**				

6.4 Accept Exhibits into Evidence

Business Capability Description

Courts receive documents and other kinds of evidence during court proceedings, and record receipt (offer) and, for some, admission into evidence. Court staff stores evidence after a trial

Business Rules

Rules of Superintendence for the Courts of Ohio, Rule 26.03. General, Domestic Relations, and Juvenile Divisions of the Courts of Common Pleas --Records Retention Schedule

(F) Retention schedule for case files--general division of the court of common pleas

(5) Other case files. Any case file not listed in division (F) of this rule shall be retained for twelve years after the final order of the general division. Documents with in a case file admissible as evidence of a prior conviction in a criminal proceeding shall be retained for fifty years after the final order of the general division.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.4-01	List of Exhibits offered and Admitted into Evidence For a particular case, a list of exhibits offered and admitted into evidence. **Vendor Response (written narrative here):**				
AC 6.4-01	Offer of Exhibits into Evidence. Enable the offer of exhibits in the register of exhibits, including exhibit description/ document title and offering party. System generates numbers and tags for exhibits, relating them to specific cases and calendar events. See **DN 6.4-01 Register of Exhibits**. **Vendor Response (written narrative here):**				
AC 6.4-02	Admission of Exhibits into Evidence Enable marking which exhibits are admitted into evidence. **Vendor Response (written narrative here):**				
AC 6.4-03	Allow entry of the movement and chain of custody of exhibits in the Register of Actions. Attach Electronic Updates to Case Exhibits **Vendor Response (written narrative here):**				
AC 6.4-04	Enter evidence into Evident Retention Table (DN 6.4-02), and generate report using a date showing items of evidence beyond their required retention. **Vendor Response (written narrative here):**				
DN 6.4-01	Register of Exhibits A list of exhibits in a case, for data entry at trial by courtroom staff of exhibit description/ document title and offering party, and status designation (e.g., offered, admitted). **Vendor Response (written narrative here):**				
DN 6.4-02	Exhibit Retention Table For all cases, a table of evidence retained in a case, including case number, description/ document title, date of disposition. **Vendor Response (written narrative here):**				

6.5 Access Reference Materials to Make Decisions

Business Capability Description

Judicial Officers have access to judicial authority and reference material to assist in decision making, e.g., case law in LexisNexis, court's legal brief repository.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.5-01	Access to Judicial Authority Provide access within the case management system to legal research resources. **Vendor Response (written narrative here):**				

6.6 Ensure Appearance at Court

Business Capability Description

Courts ensure appearance of parties in court through sanctions for failure to appear, e.g., summons, order to show cause, bench warrant, bond forfeiture.

Business Rules

State statutes and court rules specify appearance and sanction requirements.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.6-01	Failure to Appear (FTA) Report For a date range, a list of parties who have been recorded as "failed to appear" with case number, date of FTA, comment. **Vendor Response (written narrative here):**				
AC 6.6-01	Mass Case Processing of FTAs For a date range, display cases with a flagged condition of "Failure to Appear" for mass case processing using a parameter for the sanction (e.g., summons, order to show cause, bench warrant, bond forfeiture), and automatically update case Registers of Actions with entries of the action taken. See **RD 6.2-1 Register of Actions (ROA) Display** **Vendor Response (written narrative here):**				

6.7 Determine Party Indigency

Business Capability Description

Courts determine a party's indigency for a variety of purposes, e.g., setting bail, appointing indigent counsel, waiving fees, converting monetary penalties to community service

Business Rules

BR 6.7 Determination of Indigency

Court rule requires that defendants must provide written affidavits or certificates as to assets and liabilities when they request appointment of counsel.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.7-01	Indigent Party Report For a date range, a listing of parties determined to be indigent, showing person name, date, case number, case type/ subtype. **Vendor Response (written narrative here):**				
AC 6.7-01	Enter Indigent Status For parties determined to be indigent, enter that status on the person record as of that date, and attach an electronic copy of the affidavit or certificate to the Register of Actions entry. **Vendor Response (written narrative here):**				
DN 6.7-01	Indigent Status Flag The clerk sets the flag manually when a judicial officer determines that a party is indigent. **Vendor Response (written narrative here):**				

6.8 Provide Legal Representation

Business Capability Description

Courts appoint legal representation of parties (primarily criminal defendants) who are unable to hire private legal counsel. See **BR 2.6-5 Conflict Counsel List** and related Data Needs.

Business Rules

Constitutional law (*Gideon v. Wainwright*) and statute requires appointment of counsel for indigent defendants.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.8-01	Indigent Counsel Report For a date range, a listing of parties determined to require indigent counsel, showing person name, date, case number, case type/ subtype. **Vendor Response (written narrative here):**				
AC 6.8-01	Appoint Indigent Counsel Appoint indigent counsel including conflict counsel, and turn off "Self Represented Litigant" flag – see DN 2.4-2 Self Represented Litigant Flag (Attorney Representation Status), and send a notification to the Public Defender.				
DE 6.8-01	Appointment of Court Appointed Attorney Notification The data exchange sends notification of appointment to the appointed attorney to represent a defendant, with initial case information including Defendant name, address, all charges and next court appearance date.				

6.9 Provide Language Interpretation

Business Capability Description

Courts provide language interpretation for parties (primarily criminal defendants, but also family, child support,

domestic violence and foreclosure cases) who are unable to understand English sufficiently to interact with the court. Parties who need interpretation may be self-identified, or identified by the judicial officer or other participants. See **DN 2.2-8 Interpreter Needed Flag (Limited English Proficiency)** and **DN 2.1-9 Interpreter Needed for Language**

Business Rules

BR 6.9 Obligation to Provide Language Interpretation to Parties

Court policy may specify the circumstances under which the court is obligated to provide language interpretation.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.9-01	List of Parties Needing Language Interpretation For a date range, and by language, a list of cases/ parties needing language interpretation, for scheduled date/ time of court events. **Vendor Response (written narrative here):**				
RD 6.9-02	Interpreter in a Case For a given case, the interpreter(s) attending hearings, by date, with language. **Vendor Response (written narrative here):**				
RD 6.9-03	Notification to Interpreters Requested for a Given Courtroom Page or text message to one or more interpreters with a message to report to a given courtroom at a given time. **Vendor Response (written narrative here):**				
AC 6.9-01	Identify Party as Needing Interpreter Manually enter data that a party needs an interpreter, and the language involved, by turning on **DN 2.1-8 Interpreter Needed Flag** and automatically turn on an alert **Vendor Response (written narrative here):**				
AC 6.9-02	Notify Interpreter Coordinator Notify the interpreter coordinator of the arrest/ appearance of a defendant known to need an interpreter **Vendor Response (written narrative here):**				
DE 6.9-01	Notification to Interpreters Requested for a Given Courtroom Page or text message to one or more interpreters with a message. See **RD 6.9-3 Notification to Interpreters Requested for a Given Courtroom**. **Vendor Response (written narrative here):**				

6.10 Record Private Judicial Notes

Business Capability Description

Judicial Officers make confidential notes about cases and documents that assist them in decision making. See **3.5 Annotate Case/ Documents** which applies to both judicial officers and clerks.

Business Rules

BR 6.10 Private Judicial Notes

Court policy may provide a protocol for making confidential notes on a case and a document, allowing other judicial officers and court staff to view them.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.10-01	Visual Tools for Adding, Updating and Deleting Private Judicial Notes **Vendor Response (written narrative here):**				
AC 6.10-01	Confidential Judicial Officer Notes on Case Maintain judicial officer notes on a case that may be marked as private, with the choice to share the notes with other judicial officers and with court staff. **Vendor Response (written narrative here):**				
AC 6.10-02	Confidential Judicial Officer Notes on Document Allow a judicial officer to make private notes on a document, with the choice to share with other judicial officers and with court staff. **Vendor Response (written narrative here):**				
AC 6.10-03	Case Note Text Entry and Speech-to-Text Accept note entries through text entry and insofar as feasible shall be compatible with speech-to-text utilities. **Vendor Response (written narrative here):**				

6.11 Produce Documents Containing Results of Hearing

6.11.1 Produce Orders – Also see 1.2 Issue Documents

Business Capability Description

Courts generate orders, and approve proposed orders submitted by attorneys. Orders are entered in the case record as journal entries. A Register of Actions (ROA) entry (AKA docket entry) is generated to document in the public record that an order was entered. Also see **6.2 Record Hearing Results**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.11.1-01	Visual Tools for Generating Orders and Accessing/ Revising Proposed Orders **Vendor Response (written narrative here):**				
AC 6.11.1-01	In-Court Document Generation Efficiently generate orders and notices of future hearings for in-court distribution. **Vendor Response (written narrative here):**				
AC 6.11.1-02	Enable orders issued by the court (either generated by the court or approved proposed orders) to be automatically recorded in the Register of Actions and the content placed in a journal entry in the electronic case file. **Vendor Response (written narrative here):**				
AC 6.11.1-03	Management of Orders Store all orders so they can be viewed or reproduced at a later time as they were originally saved. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.11.1-04	Order of Protection Initiate an order of protection case based on a petition received manually or through e-filing, including multiple conditions on protection orders and other types of orders **Vendor Response (written narrative here):**				
DN 6.11.1-01	Protection Order Data Capture data required by the Violence Against Women Act (VAWA) that satisfies interstate transmission of protection orders for full faith and credit, covering domestic violence and non-domestic (stalking) orders. Data includes order status, case identifiers, petitioner information (could cover multiple parties), respondent information, respondent identifiers, weapons warning, court findings, specific orders, and expiration date. **Vendor Response (written narrative here):**				

6.11.2 Electronic Presentation of Proposed Orders and Other Documents

Business Capability Description

Judicial Officers sign orders that they have approved, and some documents are countersigned by parties and attorneys. Other documents are presented to the court for "in camera" inspection or other review (e.g., request for sealing of a document).

Business Rules

Statutes and local court rules specify requirements for documents subject to restricted access, to be filed under seal or impounded.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.11.2-01	Display of Judicial Officer Queue of Proposed Orders and Other Documents For all cases assigned to a judicial officer, a list of proposed orders and other documents presented for "in camera" inspection or other review (e.g., request for sealing of a document). **Vendor Response (written narrative here):**				
AC 6.11.2-01	Judicial Officer Queue of Proposed Orders and Other Documents Presented for Review. Provide for each judicial officer, based on log-in and password, a queue of proposed orders and other documents for review or approval. **Vendor Response (written narrative here):**				
AC 6.11.2-02	Filer to Mark Submission as a Proposed Order, or as Sealed or Confidential Enable a filer to indicate that a filing is a proposed order, is a sealed or confidential document that needs restricted access. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.11.2-03	Modification of Proposed Orders Enable a judicial officer to add or change language in a proposed order before signing it. **Vendor Response (written narrative here):**				
AC 6.11.2-04	Judicial Officer Signature on Orders Provide a secure means for a judicial officer to sign an order and route it for issuance. **Vendor Response (written narrative here):**				
TI 6.11.2-01	Obtaining Defendant Signature Enable use of signature pads to obtain a defendant and attorney signature on documents in the courtroom and at the counter. **Vendor Response (written narrative here):**				

6.11.3 Distribute Documents and Data

Business Capability Description

Courts distribute orders and notices issued by the court to parties and participants. Also see **3.3 Manage Service of Paper documents and Sheriff Sales**. See **DN 1.1.2-8 Non-Electronic Filing Party Flag**

Business Rules

Local court rules specify requirements for service of orders and notices

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.11.3-01	Record Service of Notice Enable the courtroom staff to record in the Register of Actions (or in a minute entry) service of notice performed in the courtroom. **Vendor Response (written narrative here):**				
AC 6.11.3-02	Record Distribution of Order Enable electronic service of documents, and recording of electronic service, for documents issued by the court. **Vendor Response (written narrative here):**				
DE 6.11.3-01	Issue Bench Warrant Notification This data exchange sends notification of the warrant being issued by a judicial officer to the Sheriff's record management system and LEADS, containing charges, arresting agency, bond amount and descriptors of the defendant. **Vendor Response (written narrative here):**				
DE 6.11.3-02	Quash Bench Warrant Notification This data exchange sends notification of the warrant being quashed by a judicial officer to the Sheriff's record management system and LEADS, typically because the subject turned himself/herself in. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 6.11.3-03	Release Defendant from Custody Notification This data exchange sends notification of the release of a defendant from custody to the Sheriff's jail management system. It enables the jail to begin preparing to release the defendant before he/she returns to the jail from court. **Vendor Response (written narrative here):**				
DE 6.11.3-40	Remand Defendant Notification This data exchange sends notification of the remand of a defendant to custody to the Sheriff's jail management system. It enables the jail to prepare for the defendant before he/she arrives at the jail from court. **Vendor Response (written narrative here):**				

6.12 Delegate Fact-Finding and Making Record of Interactions, or Refer to Program

Business Capability Description

Judicial Officers in all divisions order cases to be referred for mediation to gather information about the parties, facilitate their interactions, and produce a report of the results of the interaction. Mediators are supported by administrative staff. The mediation clerk monitors deadlines and performs reporting. Judicial Officers review the results of mediation, or preside over trial of the case afterward.

The Court Counseling Department provides services that assist the Domestic Relations Court in making decisions about custody and visitation matters. The department also provides services that assist families who are currently going through a divorce, are involved in a post-divorce dispute, or are experiencing problems with domestic violence. Court counselors are supported by administrative staff.

Domestic Relations Court may refer parties to a program, such as A-OK: Assisting Our Kids – A divorce Education Program for Parents, and Parents and Courts Together (PACT). Program staff tracks progress, completion and termination of program activities.

Scheduling cases for mediation, court counseling or program referral	See **5.2.1 Schedule Cases to Court Sessions**
Record results of mediation	See **AC 6.2-04 Record Results of Mediation Hearing**
Generate and attach documents (such as mediation agreements) to a docket (ROA) entry relating to mediation or court counseling	See **1.2 Issue Documents** and **RD 3.2-02 Attach Document to Relevant Register of Actions Entry**

Business Rules

BR 6.12-01 Foreclosure Cases Referred to Foreclosure Mediation

Court rule may provide that a judicial officer may appoint mental health professions to provide services in child custody or visitation cases.

BR 6.12-02 Family Issues Referred to Domestic Relations Division Mediation

Court rule may provide that a judicial officer may appoint a family court mediator to mediate in disputes involving child custody, visitation, removal, or other noneconomic issues relating to the child or children, either pre-judgment or post-judgment.

BR 6.12-03 General Division Cases Referred to Mediation

Court rule may provide that a judicial officer or stipulation of the parties may be referred to mediation to assist the parties in identifying issues, fostering joint problem-solving, exploring settlement alternatives, and reaching an agreement.

BR 6.12-04 Domestic Relations Cases Referred to Mediation or Arbitration

Domestic Relations Local Rule 18 provides that a judicial officer may refer parties to mediation of any issue concerning parental rights at any time during the proceedings. Rule 19 provides that the Court may refer a case or designated issue to arbitration.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.12-01	Mediator Report For a date range, a list of cases referred to a mediator, by mediator, case number, date of referral, plaintiff/ petitioner name. **Vendor Response (written narrative here):**				
RD 6.12-02	Mediation Report For a date range, a summary of the following fields: Beginning Pending, Cases Referred to Mediation, Total Mediation Cases Added, Cases Dismissed Pre-Mediation, Cases Removed from Mediation, Total Mediations Held, Mediations Pending, Mediations that Resulted in Full Settlement, Mediations w/No Agreement, Mediations w/Partial Agreement, Total Partial & No Agreement breakdown: Disposition of Partial & No Agreement, Dismissed Pretrial, Pending Trial, Jury Trial, Bench Trial, Binding Mediation , Other (specify) and Number of Mediations Held. **Vendor Response (written narrative here):**				
RD 6.12-03	Court Counseling Report Searching on a case number or party name, show the list of reports created by Court Counselling in the case by date, with Court Counselor Name, and a link to display the report itself. **Vendor Response (written narrative here):**				
RD 6.12-04	Current Workload of Court Counselor As of a certain date, the report shows the cases assigned to a Court Counselor, by case type/ subtype. **Vendor Response (written narrative here):**				
RD 6.12-05	Monthly Report required by Domestic Relations Local Rule 15.03 As of a certain date, the report shows cases assigned to Court Counseling where the plaintiff or defendant (who has filed a counter-claim) has failed of to keep an appointment for a mandatory investigation within thirty (30) days of filing the complaint, counter-claim or dissolution. (**Vendor Response (written narrative here):**				
RD 6.12-06	Mediation/ Counseling Session Display For a date range, display by mediator/ court counselor the cases scheduled for				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	hearing/ session, showing case number, attorneys, parties, case status, case type. **Vendor Response (written narrative here):**				
RD 6.12-07	Program Service Provider Information Display 1. Service Provider level information: Service Provider Name, Address, Address2, City, State, Zip, Phone, Fax 2. Service Type: (Dropdown: add list at implementation) 3. Contact: Name, Phone with Extension, email **Vendor Response (written narrative here):**				
RD 6.12-08	For a date range, display a list of program referrals, with case number, filtering by program status (Dropdown: Referred to a program, No-show, Active, Moved, Left the Program, Completed), Date Enrolled, Date Completed, Date Terminated, Successful/ Unsuccessful. **Vendor Response (written narrative here):**				
AC 6.12-01	Assign Juvenile Mediator The judicial officer assigns a mediator from the list of approved Domestic Relations Division mediators (see **RD 2.6-1 Family Referral List**), or the judicial officer may make the referral to a qualified profession who is not on the Family Referral List, and the courtroom staff enters the selected person on the case. **Vendor Response (written narrative here):**				
AC 6.12-02	Assign Family Mediator The parties may agree on a Family Mediation mediator to be entered on the case or the judicial officer assigns a mediator from the list of approved mediators (see **RD 2.6-2 Family Mediator List**) and the parties choose a mediator, and the courtroom staff enters the selected person on the case. **Vendor Response (written narrative here):**				
AC 6.12-03	Select Civil Division Mediator The parties may agree on a Civil Division mediator to be entered on the case or the judicial officer maintains a list of approved mediators (see **RD 2.6-4 Mediator Qualifications**) and selects a certified mediator by rotation, and the courtroom staff enters the selected person on the case. **Vendor Response (written narrative here):**				
AC 6.12-04	Refer Domestic Relations Cases to Court Counseling When a judicial officer refers a case to Court Counseling, the system generates a notification to the Court Counseling Administrator. **Vendor Response (written narrative here):**				
AC 6.12-05	Assign Court Counselor to Interview Parties and Prepare Recommendations Court Counselor administrative staff assigns a court counselor to a case and notifies the Court Counselor of the assignment. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.12-06	Assign Domestic Relations Mediator Court Counselor staff assigns a Court Counselor to mediate a case other than the court counselor who has handled the case to that time. **Vendor Response (written narrative here):**				
AC 6.12-07	Enter Mediation Results The Mediation Administrator has security rights to enter results of mediation: (Dropdown: Agree, No Agreement, Non-Attendance, Withdrawal, Partial Agreement); and to attach a mediation agreement, mediation outcome form, release of hold on the case, and billing sheet. **Vendor Response (written narrative here):**				
AC 6.12-08	Update Status of Mediation/ Court Counseling Enable an authorized person to update the status of Mediation/ Court Counseling, and close the Mediation/ Court Counseling case when appropriate. **Vendor Response (written narrative here):**				
DN 6.12-01	Family Referral List Rotation History This history records appointment of Domestic Relations Division Mediators with case number and date **Vendor Response (written narrative here):**				
DN 6.12-02	Family Mediator List Rotation History This history records appointment of Family Mediators with case number and date. **Vendor Response (written narrative here):**				
DN 6.12-03	Civil Division Referral List Rotation History This history records appointment of Civil Division Mediators with case number and date **Vendor Response (written narrative here):**				
DN 6.12-04	Mediation Status Flags A variety of status flags are set automatically on a case when the judicial officer in a case makes an order regarding mediation, or can be set manually, as follows: • Case Referred to Foreclosure Mediation, with date and time • Case Referred to Family Mediation, with date and time • Case Referred to Civil Division Mediation, with date and time • Case Referred to Domestic Relations Mediation, with date and time **Vendor Response (written narrative here):**				

6.13 Track Magistrate Time on IV-D Cases

Business Capability Description

Magistrates track time spent on IV-D cases, in order for the Court to bill the State for time spent.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.2-01	**Magistrate Time Tracking Report** For a date range, show for an attorney (or selected attorneys), client, matter number, hours, date of time worked, date/time stamp of data entry, user ID, with totals by magistrate and totals by matter. **Vendor Response (written narrative here):**				
AC 9.2-01	**Record Magistrate Time on Civil Matters** Enable a user to enter time spent on a matter, entering magistrate name, case number, hours, date/time stamp, user ID. **Vendor Response (written narrative here):**				
DN 9.2-01	**Magistrate Time Tracking Table** This table contains data of Magistrate time spent on IV-D cases, including magistrate name, case number, hours, date of time worked, date/time stamp of data entry, user ID. **Vendor Response (written narrative here):**				

7 Manage Finances (Fines, Fees, Costs)

7.1 Maintain Finance/ Accounting Infrastructure

Business Capability Description

Clerks maintain financial records of revenue earned by the court and expenditures incurred in the performance of the clerk's function, separated from amounts received for others (i.e., held by the Clerk in a trust or agency capacity), and distributed as required by statute, rule or order.

Business Rules

Court rules specify priority of payments, including **BR 7.3-01 Fund Distribution Patterns**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.1-01	Visual Tools for Maintaining Finance/ Accounting Infrastructure **Vendor Response (written narrative here):**				
AC 7.1-01	Accounting Standards Provide double-entry accounting system that separates revenue and trust accounting and that meets relevant accounting standards (GAAP). **Vendor Response (written narrative here):**				
AC 7.1-02	Account Configuration Enable configuring accounts and automating receipt allocation. Configuration may include rules for allocating partial payments according to priority ranking. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.1-03	Fee/ Cost Configuration Enable configuring any number of statutory fees, costs, and assessments by specifying an amount and an effective date range. Configuration may include automated assessment based upon case events. **Vendor Response (written narrative here):**				
AC 7.1-04	Revenue Distribution Rules Enable configuring distribution of revenue. See **BR 7.3 Fund Distribution Patterns**. **Vendor Response (written narrative here):**				
AC 7.1-05	Calculating Fees, Assessments, and Fines Enable configuring rules for calculating fees, costs, and fines based upon a total payment. A fee has a fixed amount. **Vendor Response (written narrative here):**				
AC 7.1-06	Post Periods Allow a user to set post periods for each fiscal year **Vendor Response (written narrative here):**				
AC 7.1-07	Financial Security Management Separate security management for system and financial functions. **Vendor Response (written narrative here):**				
AC 7.1-08	Checking Account Allow one or multiple checking account for all receipts and disbursements **Vendor Response (written narrative here):**				
AC 7.1-09	Receipt Voucher Use one form of receipt voucher to record all receipts, and one form of check voucher for all disbursements. **Vendor Response (written narrative here):**				
AC 7.1-10	Draw-Down Accounts Set up draw-down (pre-pay) accounts, i.e. funds held in trust until applied for specified transactions. **Vendor Response (written narrative here):**				
AC 7.1-11	Journals Use two journals to record all accounting transactions, one for cash receipts and one for cash disbursements. Double entry journals shall be maintained. **Vendor Response (written narrative here):**				
AC 7.1-12	General Ledger Maintain a chart of accounts in General Ledger. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.1-13	Export Journal Information Export journal information into commonly used formats (e.g., spreadsheet) for further analysis by users. **Vendor Response (written narrative here):**				

7.2 Accept Payment for Financial Obligations and Reconcile Receipts

Business Capability Description

Clerks accept payments on financial obligations related to cases (e.g., deposits for filing fees and other case costs), and for other services (e.g., copies), and reconcile cash on hand with records of money receipted – over the counter, interactive voice response (IVR), and online.

Current policy is not to accept credit card payment, but the capability should be available.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.2-01	Court Case Account Online Lookup This report/ display shows, by case or account (all obligations owed by a person across cases), outstanding financial obligations to the court, with an option to pay online. **Vendor Response (written narrative here):**				
RD 7.2-02	Receipt List This report/ display shows, by case or account (person), or by check number recorded on the receipt, for a date/ time range, receipts with case and person information, source of payment (e.g., online, in-person, IVR), and type/ purpose of payment receipted. **Vendor Response (written narrative here):**				
RD 7.2-03	Receipt Reconciliation Exception Report This report/ display shows, for a date/ time range, mismatches identified during automated reconciliation of receipts and obligations on account. **Vendor Response (written narrative here):**				
RD 7.2-04	Daily Cash Reports **Vendor Response (written narrative here):**				
RD 7.2-05	Cash Receipt Register for Each Bank Account **Vendor Response (written narrative here):**				
RD 7.2-06	Statement of Revenue Report **Vendor Response (written narrative here):**				
RD 7.2-07	Subsidiary Ledger Accounts Report **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.2-01	Payments and Receipt Format Enable a user to issue a receipt for funds received in a format associated with the type of funds receipted (e.g., case deposit, copies). **Vendor Response (written narrative here):**				
AC 7.2-02	Party Account Summary Display a party's account summary that showing obligations across multiple cases, with disbursement accounts. **Vendor Response (written narrative here):**				
AC 7.2-03	Funds Available Display funds available to a defendant for payment (including bond money), and enable transfer from one case to another case or to multiple cases to pay fines and costs. **Vendor Response (written narrative here):**				
AC 7.2-04	Payment of Filing Fees, Fines, and Costs Online Enable self-service online lookup and receipting of online payment of filing fees for initial and subsequent filings, including payment of fines, costs and fees. **Vendor Response (written narrative here):**				
AC 7.2-05	Receipt Showing Application of Funds to Fees and Costs Generate a print preview of the receipt showing amount paid and balance owed, including application of payment to fees and costs and to what accounts and subaccounts, including refunds owed to the party as a negative balance due. **Vendor Response (written narrative here):**				
A6 7.2-01	ACH Payments Accept electronic funds transfer (ACH) payments. **Vendor Response (written narrative here):**				
AC 7.2-07	Display Payment Supporting Information Show arresting agency, type of payment (list of values: cash, check, money order, Western Union, credit card), payee name, cashier identifier, amount tendered, payment amount, change given, time of payment, location (list of values: mail, counter, drop box). **Vendor Response (written narrative here):**				
AC 7.2-08	Miscellaneous Revenue Accept online requests and payments for miscellaneous revenues (e.g., copy fees) that are not case-related. **Vendor Response (written narrative here):**				
AC 7.2-09	Multiple Methods of Payment Accept payments from persons at the counter, by telephone (through an IVR interface), and through the Internet. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.2-10	Bulk Payment Allocation Accept a single payment for multiple cases or accounts, checking that the numbers balance with itemized application of funds before completing the transaction and posting to appropriate accounts. **Vendor Response (written narrative here):**				
AC 7.2-11	Multiple Payment Types on One Payment Allow multiple methods of payment for one transaction, e.g., partial cash and partial credit card payment. **Vendor Response (written narrative here):**				
AC 7.2-12	Partial Payments Accept partial payments online if a defendant has a payment plan, has arranged to take Driver Safety Course, or has other compliance conditions that allow partial payments. **Vendor Response (written narrative here):**				
AC 7.2-13	Payment Cutoff Time Provide a cut-off time for web-based transactions in a daily batch, in the event that the web payment service provider is in a different time zone. **Vendor Response (written narrative here):**				
AC 7.2-14	Cashier Identification Identify cashier entry of payment receipt into a batch. **Vendor Response (written narrative here):**				
AC 7.2-15	Multiple Cashier Drawers/ Batches Combine multiple drawers/ batches for a cashier for a day into a single deposit. **Vendor Response (written narrative here):**				
AC 7.2-16	Suspend Cashier Operations Enable a user to suspend cashier operation (e.g., close without balancing to permit lunch and other breaks) **Vendor Response (written narrative here):**				
AC 7.2-17	Reprint Receipts Reprint a receipt (e.g., if printer malfunctions during printout) with same receipt numbers) **Vendor Response (written narrative here):**				
AC 7.2-18	Void Receipts Void a receipt after supervisor authorization via workflow notification. **Vendor Response (written narrative here):**				
AC 7.2-19	Correct a Receipt Correct a receipt to prepare a deposit, e.g., payee is wrong, payment type is wrong. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.2-20	Cashier Batch Closeout Close a batch and prepare deposit information to accompany deposit receipts. **Vendor Response (written narrative here):**				
AC 7.2-21	Adjusting Entry Allow supervisor to make adjusting entry to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, e-payment, money orders) with proper security provisions. **Vendor Response (written narrative here):**				
AC 7.2-22	Point of Sale (POS) and Coin Dispensers Connect coin dispensers to cash drawers for providing change. [See Infrastructure Needs] **Vendor Response (written narrative here):**				
AC 7.2-23	Electronic Reconciliation of Online Payments Enable automated reconciliation of online, credit card, e-citation, jail bond, and other electronic payments with accounts receivable (without manual reconciling of payments), by generating exception lists of mismatches for manual inspection and reconciliation. **Vendor Response (written narrative here):**				
AC 7.2-24	Daily and Monthly Balancing Enable daily and monthly balancing processes with summary reports for the details of each cash drawer, cash register, and cashier **Vendor Response (written narrative here):**				
AC 7.2-25	System Wide Daily Cash Receipts Journal Enable division-wide and system-wide daily cash receipts journal and posting cash receipts transactions to general ledger. **Vendor Response (written narrative here):**				
DE 7.2-01	Interface with Credit Card Merchant for Online Payments This interface will transmit payment information and person/ case identifiers between the credit card merchant and case accounts. It will also deliver the data for automated reconciliation with case accounts. **Vendor Response (written narrative here):**				
TI 7.2-01	Interactive Voice Response (IVR) Interface **Vendor Response (written narrative here):**				
TI 7.2-02	Point of Sale (POS) and Coin Dispenser Interface **Vendor Response (written narrative here):**				

7.2.1 Payment Alerts

Business Capability Description

Clerks need to be alerted to certain conditions relating to payment of financial obligations, to restrict some payments for business reasons, e.g., unpaid bad checks (NSF), persons who have used invalid or stolen credit card numbers.

Business Rules

BR 7.2.1 Restrictions on Payments

Court policy may place restrictions on receiving payments (i.e., cases and persons with unpaid bad checks, persons who have used invalid or stolen credit card numbers).

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.2.1-01	Payment Alert List For a date range, show the cases and persons with payment alerts. **Vendor Response (written narrative here):**				
AC 7.2.1-01	Bad Check Alert Place alerts on cases and persons with unpaid bad checks. **Vendor Response (written narrative here):**				
AC 7.2.1-02	Block Certain Individuals from Paying Online Block certain defendants (who have used invalid or stolen credit card numbers) from paying online. **Vendor Response (written narrative here):**				

7.3 Distribute/ Reconcile Funds

Business Capability Description

Clerks disburse funds by writing checks to a variety of accounts of other governmental units funds using distribution patterns, and refunds of revenue paid in error; and reconcile amounts that should be disbursed with amounts actually disbursed. Clerks periodically disburse, and reconcile checks paid.

Clerks also apply fee deposits to costs of the case, and distribute costs according to a priority of payment.

Business Rules

BR 7.3-1 Fund Distribution Patterns

Statute provides the formula patterns for distributing funds to agencies and funds.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.3-01	Checks Written, with User Input Date Range **Vendor Response (written narrative here):**				
RD 7.3-02	Checks Voided, with User Input Date Range **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.3-03	Checks Outstanding, with User Input Date Range **Vendor Response (written narrative here):**				
RD 7.3-04	Cleared Checks, with User Input Date Range **Vendor Response (written narrative here):**				
RD 7.3-05	Check Detailed Listing, with User Input Date Range **Vendor Response (written narrative here):**				
RD 7.3-06	Disbursement Reconciliation Exception Report This report/ display shows, for a date/ time range, mismatches identified during automated reconciliation of funds on account and disbursements. **Vendor Response (written narrative here):**				
RD 7.3-07	Cost Bills For a case, show the case number, amount deposited, and a table of cost events with event code, event description, type, amount, and date. **Vendor Response (written narrative here):**				
RD 7.3-08	1099 Forms This report/ display shows, for a date range, persons who have received 1099 forms, i.e., received more than $600 or more during the tax year. **Vendor Response (written narrative here):**				
RD 7.3-09	Audit Report of Pending Juror Payments For a date range a list by juror of itemized pending payments of juror fees, mileage and supplemental reimbursement for jurors, with totals in each category. The report should be available in alphabetical, date, or panel order. **Vendor Response (written narrative here):**				
RD 7.3-10	Juror Payments by Case For a given case, an historic recap of paid juror fees on the panel. **Vendor Response (written narrative here):**				
RD 7.3-11	Payment History Recap For a date range an historic recap of paid juror fees. Shows a total of paid juror fees broken down by pool-only jurors, jurors on criminal as a total, and jurors on civil cases as a total. **Vendor Response (written narrative here):**				
RD 7.3-12	Reissued Juror Checks For a date range a list of reissued checks showing: a. Juror name b. Original check number c. Date of original check Check amount				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
RD 7.3-13	Uncashed Checks For a date range a list of uncashed checks showing: a. Juror name b. Original check number c. Date of original check Check amount **Vendor Response (written narrative here):**				
AC 7.3-01	Manage Distribution Accounts Maintain distribution patterns for disbursement of funds to agencies. **Vendor Response (written narrative here):**				
AC 7.3-02	Write Checks Write checks and keep track of the system generated check numbers. **Vendor Response (written narrative here):**				
AC 7.3-03	Reprint Checks Reprint checks damaged during printing, either a single check or a full batch, recording the unusable check(s) in the register as reprinted, assigning new numbers to reprinted checks. **Vendor Response (written narrative here):**				
AC 7.3-04	Pass-through Payments Write checks for conduit accounts, e.g., child support received outside state disbursement center operations. **Vendor Response (written narrative here):**				
AC 7.3-05	Electronically Send Check Data to the Bank (Positive Pay) **Vendor Response (written narrative here):**				
AC 7.3-06	Bank Reconciliation Support bank reconciliation using the electronic monthly bank statement file with bank check numbers, reconciling checks issued with checks paid, producing an error report for the following conditions: a. If check # does not exist b. If check amount does not match c. If check status or status date already filled in **Vendor Response (written narrative here):**				
AC 7.3-07	Manually Un-Clear Check Support reversing a “Cleared Check” action during bank reconciliation when it was cleared in error. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.3-08	Purge Checks from Check Run Mark check 'VOID" before checks are printed. **Vendor Response (written narrative here):**				
AC 7.3-09	Revenue Refund Processing Streamline refund processing by marking cases for refunds and then having a batch approval process that sends payment requests through an interface to the city's financial system. **Vendor Response (written narrative here):**				
AC 7.3-10	Distribute Payment of Cost Distribute payment of costs according to priority of payment (see **DN 7.3-02 Fund Distribution Patterns**), and enable the user to override a payment priority as required by judicial order or local rule. **Vendor Response (written narrative here):**				
AC 7.3-11	Print juror payments reports on demand or in batch mode. **Vendor Response (written narrative here):**				
AC 7.3-12	Track Payments to Payee Tax ID -- See **RD 7.3-07 1099 Forms**. Financial Oversight --Voids and overrides must be approved by a supervisor. **Vendor Response (written narrative here):**				
AC 7.3-13	Look up juror payment record of returned checks, verify address or enter new address, enter check number, and manually mark check for reissuance, with reason. **Vendor Response (written narrative here):**				
AC 7.3-14	Void juror checks that have been uncashed for longer than the period stated in **BR 7.6.3-01 Uncashed Checks.** **Vendor Response (written narrative here):**				
AC 7.3-15	Enter transaction for reissuing juror check reported lost/ destroyed. **Vendor Response (written narrative here):**				
AC 7.3-16	Scan supporting affidavit from juror. **Vendor Response (written narrative here):**				
AC 7.3-17	Manually mark juror check for reissuance, with reason. **Vendor Response (written narrative here):**				
AC 7.3-18	Enter uncashed checks on juror payment record. **Vendor Response (written narrative here):**				
DE 7.3-01	County Financial Software Interface Support automated bank reconciliation by daily transfer of financial information through an interface to the county's financial system. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 7.3-02	Fund Distribution Patterns These patterns, which vary by case type, specify the amount or percentage of distribution of amounts in the revenue account to agencies and funds. **Vendor Response (written narrative here):**				

7.4 Create Financial Obligations/ Accounts Receivable

Business Capability Description

A court creates financial obligations by sentencing defendants to pay fines (based on statutorily-imposed amounts or on judicial discretion), assessing costs, and charging fees for services provided as ordered by the court.

Business Rules

BR 7.4-01 Transcript Fee

Court rule may require that persons ordering transcripts from an official court reporter of a court proceeding be charged for an original and a copy of the transcript.

BR 7.4-02 Warrant Fee

Court rule may require that an accused arrested pursuant to a "Failure to Appear" warrant shall, in addition to any bail that the accused is required to deposit, upon his or her admission to bail, be assessed a fee of $XX.00.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.4-01	Accounts Receivable Report For a date range, show by type of account receivable, summary and details of amounts owing. **Vendor Response (written narrative here):**				
AC 7.4-01	Calculation of Bail and Fine Amounts Based on offense Information Compute bail and fine amounts based on schedules of offenses. **Vendor Response (written narrative here):**				
AC 7.4-02	Full Display of All Fees and Costs Compute and display all fees and costs associated with a case. **Vendor Response (written narrative here):**				
AC 7.4-03	Person-Level Accounts Financial transactions may be consolidated for a person across multiple cases. **Vendor Response (written narrative here):**				
AC 7.4-04	Recurring Billing (Subscription) Enable assessment and payment of a recurring obligation (e.g., subscription for access to court records). **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.4-05	Add Warrant Fee Automatically add warrant fee upon disposition if a warrant has been issued for failure to appear on the case. See **BR 7.4-2 Warrant Fee**. **Vendor Response (written narrative here):**				

7.5 Modify Financial Obligations and Transfer Funds

Business Capability Description

A judicial officer may order an adjustment of fines, fees or costs, to be reflected in accounts receivable; or may convert a financial obligation (payment of a fine) to community (work) service, or to time served in jail (at a certain daily rate); or may waive fees when party is shown to be indigent (see **6.7 Determine Party Indigency**).

Business Rules

BR 7.5-01 Fees and Cost Not Dischargeable by Community Service

Court policy may prohibit court fees and costs from being satisfied through community service, and require them to be paid.

BR 7.5-02 Conversion Rate of Fine to Time Served

Court policy may specify the daily rate of crediting time served to apply to defendants' fines.
Note: Current policy does not allow payment by credit card, but capability should be provided.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.5-01	Adjustment Transactions Handle NSF checks, over-rings, voids, refunds, case overages/ shortages. **Vendor Response (written narrative here):**				
AC 7.5-02	Credit Card Chargeback Record a credit card transaction that is returned due to a deposit error or cardholder dispute, which results in a debit to the depository bank account **Vendor Response (written narrative here):**				
AC 7.5-03	Credit Card Refund Enter a refund for a previous credit card transaction, due to court order or user error **Vendor Response (written narrative here):**				
AC 7.5-04	Reduce Fees When Party Found to Be Indigent Reduce (waive) fees identified by judicial officer after finding a party to be indigent. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.5-05	Adjust Fees When Penalty Reduced When a penalty is reduced, adjust mandatory fees and total amount due accordingly. **Vendor Response (written narrative here):**				
AC 7.5-06	Reduce Accounts Receivable for Community Service Reduce accounts receivable due to court order converting fine to community service. **Vendor Response (written narrative here):**				
AC 7.5-07	Reduce Accounts Receivable for Time Served Reduce accounts receivable due to court order converting fine to time served. **Vendor Response (written narrative here):**				
AC 7.5-08	Transfer Funds to a Party on Another Case **Vendor Response (written narrative here):**				
AC 7.5-09	Transfer Funds to Different Party on Same Case **Vendor Response (written narrative here):**				
AC 7.5-10	Transfer Funds from a Party to an Attorney on Another Case **Vendor Response (written narrative here):**				
AC 7.5-11	Transfer Funds to Bond **Vendor Response (written narrative here):**				
AC 7.5-12	Transfer Funds to Restitution **Vendor Response (written narrative here):**				
AC 7.5-13	1. Void Payment (Take payment off as if money never came in) 2. Route to supervisor for approval **Vendor Response (written narrative here):**				

7.6 Manage Accounts Receivable/ Collection of Court Debt

Business Capability Description

Clerks maintain accounts receivable, and ensure that delinquent accounts are assigned to collection by the attorney general.

Business Rules

BR 7.6-01 State Collections Rules

Follow state requirements for collection notices.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.6-01	Outstanding Receivable Report For a date range, a report run monthly that lists all cases that have amounts outstanding receivables to be collected on, i.e., outstanding accounts receivable. **Vendor Response (written narrative here):**				
RD 7.6-02	Total Amount Collected Report For a date range, a report run monthly that summarizes the total amount of dollars collected. **Vendor Response (written narrative here):**				
RD 7.6-03	Current Year versus Prior Years' Collections Report For a date range, a report run monthly that compares collection activity for the current to prior year's activity. **Vendor Response (written narrative here):**				
RD 7.6-04	Number and Dollar Amount of Cases Assigned to Collection Report For a date range, a report run monthly that identifies cases and associated dollar amounts that have been assigned for collection. **Vendor Response (written narrative here):**				
RD 7.6-05	Age of Collections Report For a date range, a report run monthly that identifies the age of receivables and the time frame in which they were collected; normally recognized in increments of 30, 60, 90, 120 or more days. **Vendor Response (written narrative here):**				
RD 7.6-06	Collection Rate Report For a date range, a report run quarterly that shows the total of all collections related to the assessment control group divided by the actual assessments of the reporting period. A high percentage rate indicates how effective the program, using the formula Total amount collection / (Total amount assessed minus adjustments to assessments). **Vendor Response (written narrative here):**				
RD 7.6-07	Average Collection Period Report For a date range, a report run monthly that identifies the average days to collection outstanding receivables. The lower the number, the better the collection activities. **Vendor Response (written narrative here):**				
RD 7.6-08	Collections Audits Provide audit capabilities for collections and holds. **Vendor Response (written narrative here):**				

7.6.1 Identify Overdue Accounts for Referral to Collection

Business Capability Description

Clerks identify accounts that are uncollectible and segregate these accounts from accounts actively being

collected. Amounts are still owing and may be received later.

Business Rules

BR 7.6.1-01 Criteria for Referral of Debt to Attorney General

ORC 131.02 Collecting amounts due to state. The criteria for referring a case to the attorney general: if the amount is not paid within forty-five (90?) days after payment is due, the officer, employee, or agent shall certify the amount due to the attorney general.

Process Activities

a. Generate a list of cases delinquent for referral to collection firm (90 days past due).

b. Review collection batch, remove some individual cases, and submit the batch with assessment fee for collection.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.6.1.-01	Uncollectible Accounts Report For a date range, a report run quarterly that shows the total of all accounting meeting the criteria of **BR 7.1.6-1 Criteria for Identifying Uncollectible Accounts.** **Vendor Response (written narrative here):**				
AC 7.6.1-01	Reduce Accounts Receivables for Uncollectible Accounts Mark accounts designated as uncollectible. **Vendor Response (written narrative here):**				
AC 7.6.1-02	Monitor Payment Status Provide ticklers and reports for overdue payments for referral to collection. **Vendor Response (written narrative here):**				
AC 7.6.1-03	Refer Batch of Cases to Collection Review overdue collection batch, remove some individual cases, and submit the batch, adding assessment fee for collection. **Vendor Response (written narrative here):**				
AC 7.6.1-04	Update Payment Information from Collection Agent Update information of payments collected by the collection agent. **Vendor Response (written narrative here):**				
DN 7.1.6	Overdue-Referred Account Flag A clerk applies criteria in **BR 7.6.1-01 Criteria for Referral of Debt to Attorney General** and manually flags the account overdue. **Vendor Response (written narrative here):**				
DE 7.6.1-01	Data Exchange to Refer Cases to Attorney General This data exchange refers cases to and recall cases from the Attorney General. The interface places and recalls cases with the company, notify collections of payments made to the court on collections cases, and **Vendor Response (written narrative here):**				

7.6.2 Identify Uncollectible Accounts

Business Capability Description

Clerks identify accounts that are uncollectible and segregate these accounts from accounts actively being collected. Amounts are still owing and may be received later.

Business Rules

BR 7.6.2-01 Criteria for Identifying Uncollectible Accounts

Court policy may specify criteria for classifying certain court debt as uncollectible, such as:

a. The debt or elements of (Dropdown: costs, fees) it are released by order of a bankruptcy court.
b. The debtor is deceased and the estate is closed.
c. The debt is uncollectible by operation of law.

The policy may define "uncollectible" as inactivating debts or removing them from the list of amounts the court can expect to collect, but does not constitute forgiveness of the debt; inactive debts are still payable by the debtor. The court must be able to accept payment for all inactive debts, and return a debt to active status to resume appropriate collection efforts.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.6.2-01	Uncollectible Accounts Report For a date range, a report run quarterly that shows the total of all accounting meeting the criteria of **BR 7.1.6-1 Criteria for Identifying Uncollectible Accounts.** **Vendor Response (written narrative here):**				
AC 7.6.2-01	Reduce Accounts Receivables for Uncollectible Accounts Mark accounts designated as uncollectible. **Vendor Response (written narrative here):**				
DN 7.6.2-01	Uncollectible Account Flag A clerk applies criteria in **BR 7.6.2-01 Criteria for Identifying Uncollectible Accounts** and manually flags the account uncollectible. **Vendor Response (written narrative here):**				

7.6.3 Escheat Outstanding Checks

Business Capability Description

Clerks turn over unclaimed funds to the state after a period of time set by statute.

Business Rules

BR 7.6.3-01 Uncashed Checks

Statute provides that outstanding checks automatically become void after one year and the unclaimed funds are sent to the county auditor where they remain available for claim through the State Treasurer's office.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.6.3-01	Uncashed Checks Report For a date range, a report that shows the total of all checks that have not been cashed [six] months after issuance. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.6.3-01	Produce Uncashed Checks Report Produce a report showing non-cashed checks more than one year old (configurable value). **Vendor Response (written narrative here):**				

7.7 Manage Accounts Payable

Business Capability Description

Clerks identify receive vouchers for goods and services provided, e.g., interpreters, conflict counsel, DUI/ drug treatment service providers, jury sequestration expenses. Clerks rely on the court or department to verify that the services were provided. Depending on the kinds of goods and services, the Clerk submit vouchers to the county auditor for payment with county funds from the appropriate account.

Business Rules

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.7-01	Accounts Payable Report For a date range, a report that shows the total of all accounts payable by vendor, with amount due, date requested, and type/ purpose of payment. **Vendor Response (written narrative here):**				
AC 7.7-01	Enter Vouchers Enter data from verified invoices for goods and services provided. **Vendor Response (written narrative here):**				
AC 7.7-03	Produce Accounts Payable Report Produce a report showing overpayments being held for distribution. **Vendor Response (written narrative here):**				

8 Manage Assets in Trust

8.1 Accept Assets and Obligations in Trust

Business Capability Description

Clerks accept assets in trust for litigants, e.g., bail, bonds, escrow, garnishment, restitution, child support, disputed funds.

The Sheriff's Civil Division accepts funds paid in trust after a sheriff sale.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 8.1-01	Trust Assets Report For a date range, a report that shows the total of all assets held in trust, by type				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	of asset, showing, amount, case number, person received from, date received, date disbursed, person to whom disbursed. **Vendor Response (written narrative here):**				
AC 8.1-01	Receipt of Non-Bail Funds Paid in Trust Enter the following information when receiving funds paid in trust (e.g., funds of the purchase price in a sheriff sale, amount in dispute deposited with the county treasurer as stakeholder), and generate receipt: a. Receipt Date (default to current date) b. Case Number c. Identifying Number (e.g., unique number for parcel of land, bank account number) d. Note (free text – address of property, other information) e. Amount f. Payment Type (Dropdown: Cash, Cashier's Check, Check, Credit Card, Debit Card, Money Order) g. Check Number or Authorization code h. Payer Type (Dropdown: Clerk of Court, Law Firm, Individual, Out of County, Out of State) – to determine holding period i. Name of person making the payment (Last, First, Middle) j. Address Line 1, Address Line 2, City, State, Zip Code **Vendor Response (written narrative here):**				
AC 8.1-02	Bail Information Enter and maintain bail amount and type by defendant (including multi-defendant cases), posted by whom (individual or surety name), payer address, payer social security number (confidential), bail set date, and bail posted date. **Vendor Response (written narrative here):**				
AC 8.1-03	Bail Conditions Enter the conditions of bail release and make them available throughout the justice system. **Vendor Response (written narrative here):**				
AC 8.1-04	Bail Bond Entry Enable entry of bail and bonds (surety and attorney bonds on criminal cases) that can be connected to multiple cases (e.g., bond posted for a defendant in more than one criminal case). **Vendor Response (written narrative here):**				
AC 8.1-05	Surety Types Recognize multiple kinds of surety, e.g., cash, property. **Vendor Response (written narrative here):**				
AC 8.1-06	Multiple Bond Types Account for unsecured appearance bonds. **Vendor Response (written narrative here):**				
AC 8.1-	Restitution Received				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
07	Receipt and enter restitution received. **Vendor Response (written narrative here):**				
AC 8.1-08	Add One Responsible Party (Payer) and One Recipient (Victim). **Vendor Response (written narrative here):**				
AC 8.1-09	Add Multiple Responsible Parties (Pay3rs) and One Recipient (Victim) – Joint & Several **Vendor Response (written narrative here):**				
AC 8.1-10	Single Payer of Restitution Add One Responsible Party (Payer) and Multiple Recipients (Victims) **Vendor Response (written narrative here):**				
AC 8.1-11	Multiple Payers – Joint and Several Restitution Add Multiple Responsible Parties (Payers) and Multiple Recipients (Victims) – Joint & Several Liability **Vendor Response (written narrative here):**				
AC 8.1-12	Link Additional Cases for a Responsible Party (Payer) to an Obligation Without Adding a Responsible Party Multiple Times **Vendor Response (written narrative here):**				
AC 8.1-13	Add an Additional Recipient After Obligation Has Been Set Up (Example: forgot to add multiple recipients when adding the obligation, OR Additional, new recipients are being added at resentencing, amended order, etc.) **Vendor Response (written narrative here):**				
AC 8.1-14	Add an Additional Responsible Party after Obligation Has Been Set Up (i.e., one defendant is sentenced and the obligation is added. The co-defendant is sentenced a week later. The restitution is now Joint and Several.) The additional party is not added as a new obligation for the co-defendant, but to the existing obligation. **Vendor Response (written narrative here):**				
AC 8.1-15	Child Support Received Receipt and enter child support received (not required to be sent to the State Disbursement Unit). **Vendor Response (written narrative here):**				
AC 8.1-16	Accept Funds for Draw-Down Accounts Record and receipt funds for draw-down accounts. **Vendor Response (written narrative here):**				
AC 8.1-17	Maintain Identify of Payer when Accepting Funds in Trust for a Case For a case in which funds are received in trust (e.g., garnishment in Proceedings in Aid of Execution, sheriff sale), record the name and other identifying information of the payer, to facilitate disbursement to the correct person as needed.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				

8.2 Manage Obligations and Assets in Trust

Business Capability Description

Clerks record bond activity, and adjust and transfer bonds.

Business Rules

BR 8.2-01 Authority to Transfer Bail Held in Trust

Court policy may provide authority and mechanisms for the clerk to use and transfer bail money from one case to another.

BR 8.2-02 Allocation of Restitution among Multiple Victims

Court policy may provide that a judgment ordering restitution states the percentages of the total obligation to each of multiple victims. When a payment is made, the percentage is applied to the dollars paid; this applies to Joint & Several obligations.

BR 8.2-03 More Restitution is Paid than is Owed

Court policy may provide that if the amount of restitution paid exceeds the amount owed, the excess is added to the **<Funds>** field in the account.

BR 8.2-04 Changing a Restitution Recipient's Name or Address

Court policy may provide that changing a recipient's name, address, etc., for any reason other than fixing a mistake from adding the obligation, requires an Amended Restitution Order, and additional steps to be taken if the name is to change.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 8.2-01	Bond History Show the history, status, and effective date of a posted bond (e.g., discharged, forfeited, or transferred to another court). **Vendor Response (written narrative here):**				
RD 8.2-02	Report of Forfeited Bonds For a date range, produce a report of forfeited bonds. **Vendor Response (written narrative here):**				
RD 8.2-03	Restitution Report For a date range, produce a report showing all restitution, including both outstanding balance and amounts currently being held for distribution. **Vendor Response (written narrative here):**				
RD 8.2-04	View Details and Payment Information of a Responsible Party **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 8.2-05	View Details and Allocation of (Payment to) Recipient (Victim) **Vendor Response (written narrative here):**				
RD 8.2-06	Draw-Down Account Replenish Notification For a date range, produce a report/ display showing accounts crossing the configurable threshold for maintaining sufficient funds in the draw-down account. **Vendor Response (written narrative here):**				
AC 8.2-01	Bond Activity Record all activity (acceptance, exoneration, and forfeiture) related to the bond. **Vendor Response (written narrative here):**				
AC 8.2-02	Bond History Search the history, status, and effective date of a posted bond (e.g., discharged, forfeited, or transferred to another court). **Vendor Response (written narrative here):**				
AC 8.2-03	Create Account Receivable upon Forfeiture Create a financial obligation when a bond is ordered to be forfeited. **Vendor Response (written narrative here):**				
AC 8.2-04	Un-Refund Bond Refunded in Error (Check Not Yet Generated) Reverse the amount of bond refunded that should not be disbursed. **Vendor Response (written narrative here):**				
AC 8.2-05	Reset a Bond (No Actual Money Posted) Enable the user to correct the amount of a personal recognizance, individual bond, 10% required or full required amount entered incorrectly. **Vendor Response (written narrative here):**				
AC 8.2-06	Remove Entire Bond with Money Posted (Added Multiple Times or in Error) Enter brief explanation of error (Ex., “Bond Added Twice”) **Vendor Response (written narrative here):**				
AC 8.2-07	Remove Partial Bond with Money Posted (Added with Higher Amount Than Actually Posted) Enter brief explanation of error (Ex., “Bond Added Twice”) **Vendor Response (written narrative here):**				
AC 8.2-08	Add Additional Amount to Bond (Bond Added Lower Than Actually Posted) **Vendor Response (written narrative here):**				
AC 8.2-09	Bond with Money Posted Added As Wrong Type and Amount (Full Added As 10%, etc.) Enter brief explanation of error (Ex., “10% Bond Added in Error”) **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 8.2-10	Own Recognizance (OR) Individual Bond Added In Error, Should Be Full Or 10% Enter a brief explanation, if necessary **Vendor Response (written narrative here):**				
AC 8.2-11	Bond Amount Reduced – Refund Difference (Money Posted) **Vendor Response (written narrative here):**				
AC 8.2-12	Transfer Bond to Another Case (Case not linked to bond, but transferring to apply to fines and costs.) **Vendor Response (written narrative here):**				
AC 8.2-13	Transferring Bond (Already Added) to Another Bond (to be Posted) **Vendor Response (written narrative here):**				
AC 8.2-14	Transferring Available Bond to Restitution **Vendor Response (written narrative here):**				
AC 8.2-15	Apply Funds to Restitution on the appropriate case **(<Funds>** from a Party, Attorney or Case) Update Recipient (Victim) Information – see **BR 8.2-3 Changing a Restitution Recipient's Name or Address** **Vendor Response (written narrative here):**				
AC 8.2-16	Update Responsible Party (Payer) Information **Vendor Response (written narrative here):**				
AC 8.2-17	Modify the Restitution Obligation (Examples: judge changed amount of restitution, clerk entered the wrong type of obligation or the wrong judicial officer code, restrict the obligation, include a note regarding the obligation) **Vendor Response (written narrative here):**				
AC 8.2-18	Draw-Down Accounts Enable deposits in trust with an account and subaccount structure for law firms and attorneys to deposit funds that can be transferred to pay fees; provide a configurable threshold amount that triggers a notification if the balance drops below that amount. **Vendor Response (written narrative here):**				
DN 8.2-01	Restitution Multiple Recipient Allocation Percentages Restitution accounts contain a percentage to be paid to recipients on the account. The default value is 100% for the first recipient. The clerk enters priorities of additional recipients, if any, and enters their allocation percentages according to the court order. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 8.2-02	Draw-Down Account Structure Draw-down accounts and subaccounts allow law firms and attorneys to deposit funds that can be drawn upon to pay fees when the attorney authorizes transfer to a case. **Vendor Response (written narrative here):**				

8.3 Disburse Assets/ Release Trust Obligation

Business Capability Description

Clerks disburse assets in trust, and release trust obligations (e.g., restitution, child support, other funds or assets held in trust).

Business Rules

BR 8.3-01 Authority to Use Bail Held in Trust

Court policy may provide authority and mechanisms for the clerk to apply bail money to pay fines and court costs, cash bond forfeitures, payment or failure to pay forfeiture by bonding company.

BR 8.3-02 Disbursement of Bond Refunds

Court policy may require, before the clerk can make a bond refund, to check if the defendant has any outstanding fines, fees, costs or restitution in any other cases in the county. If that is true, the rule may prescribe a process notifying the defendant if the defendant is not present and given an opportunity to address the court on this issue, or otherwise consent to applying the funds to other outstanding obligations.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 8.3-01	Bond Refund Report For a date range, a list and total of the bonds refunded, showing case number, defendant **Vendor Response (written narrative here):**				
RD 8.3-02	Restitution Payment Report For a date range, a list and total of restitution disbursements, showing case number, victim, and amount of the obligation remaining. **Vendor Response (written narrative here):**				
RD 8.3-03	Child Support Payment Report For a date range, a list and total of child support disbursements, showing case number, payer, recipient, and overdue amounts of the obligation remaining. **Vendor Response (written narrative here):**				
AC 8.3-01	Bond to Be Refunded Before/In Lieu of Applying to Fines, Costs, Fees - One Payer to Receive Refund **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 8.3-02	Bond to Be Refunded Before/In Lieu of Applying to Fines, Costs, Fees - Multiple Payers to Receive Refunds Process - one person at a time **Vendor Response (written narrative here):**				
AC 8.3-03	Release Bond and Conditions Designate that bond is to be returned and release defendant from bond conditions. **Vendor Response (written narrative here):**				
AC 8.3-04	Escheatment of Bond Escheat unclaimed bail amounts to the state as unclaimed property. **Vendor Response (written narrative here):**				
AC 8.3-05	Restitution Payment From Responsible Party to One or More Recipients – see **DN 8.2-01 Restitution Multiple Recipients Allocation Percentages**. Disburse restitution to recipient(s) and record disbursement in recipient accounts, by selecting a date range, receipt range, and/or minimum check amount. **Vendor Response (written narrative here):**				
AC 8.3-06	Payment of Child Support to Recipient Disburse funds to recipient and record in accounts. **Vendor Response (written narrative here):**				
AC 8.3-07	Payment of Escrowed Funds or Assets Received Disburse escrowed funds or assets received to recipient, with designation of the type of obligation (e.g., amount in dispute deposited with the county treasurer as stakeholder) and record in accounts. **Vendor Response (written narrative here):**				

9 Manage Charges and Criminal Judgments

9.1 File Charges

Business Capability Description

For criminal offenses the Prosecution submits charges indicted by the Grand Jury which the clerk uses to initiate criminal cases. For juvenile offenses law enforcement and the Prosecution submit charges which the clerk uses to initiate juvenile cases.

Incident Tracking Number (ITN)

An Incident Tracking Number (ITN) is associated with each charge, assigned by BCI at the time of a suspect's arrest. If the suspect is arrested on three charges for two different courts today, all three charges will have the same ITN, based on date and time of arrest. If the defendant is arrested two days later for additional charges, those charges will receive a new ITN. When the indictment is filed it could contain charges from the two different arrests. Therefore EVERY charge record must contain its own ITN. The ITN is the primary key when reporting dispositional information to BCI for matching the disposition to arrest charges, grand jury charges, and indictment charges.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.1-01	List of Complaints Filed Report For a date range, a list of complaints sortable by issuing agency, date, defendant, offense level/ type. **Vendor Response (written narrative here):**				
RD 9.1-02	Charges Pending But No Complaint Report For a date range, a list of defendant with charges filed but no prosecutor complaint filed, sortable by issuing agency, date, defendant, offense level/ type. **Vendor Response (written narrative here):**				
AC 9.1-01	Citations (Juvenile Traffic) Accept paper or e-citation to initiate traffic-related case. **Vendor Response (written narrative here):**				
AC 9.1-02	Keyboard Entry of Citation Enable keyboard entry of citations using data entry interface configurable for data fields needed. **Vendor Response (written narrative here):**				
AC 9.1-03	Juvenile Traffic Charges Display in drop-down list only charges appropriate to the jurisdiction. **Vendor Response (written narrative here):**				
AC 9.1-04	Keyboard Entry of Criminal Charge Information Enable keyboard entry of charge information, complaint and indictment to initiate criminal cases using data entry interface configurable for data fields needed. **Vendor Response (written narrative here):**				
AC 9.1-05	Security Level for Indictments Maintain different security levels for indictments. Establish a shell case for a secret indictment and activate the case on the date of the indictment. **Vendor Response (written narrative here):**				
AC 9.1-06	Rapid Entry of New Cases Allow creation of a copy of a case and editing the copy to facilitate rapid entry of new cases. **Vendor Response (written narrative here):**				
AC 9.1-07	Display Relevant Code Tables Display only relevant/available code table values on data entry screens. **Vendor Response (written narrative here):**				
DE 9.1-01	Indictment Data Exchange This data exchange exports Indictment data from the Prosecution case management system to the Clerk when new or amended charges are brought against a defendant, including charge and defendant data. When a new case is created, a case number is given and a judicial officer is assigned. See **2.3 Assign Cases to Judicial Officers**.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Export to the Court/Clerk CMS the following data: 1. Municipal Court Case Number 2. Last Name, First Name, Middle Initial, Suffix 3. Alias Name(s) 4. DOB 5. SSN 6. Regional ID (RID) Number 7. FBI Number 8. Height 9. Weight 10. Hair Color 11. Eye Color 12. Sex 13. Race/ Ethnicity 14. Address (including address history) 15. Phone 16. Investigating Agency 17. Record Bureau Number 18. Type of Filing (Information, Bindover, Indictment) 19. Charges (Revised Code, Charge Description, Felony Degree, Offense Date Range Charge Applies to, ITN Number) 20. Date of Court Case Initiation 21. Case Type: Offense Class: (Dropdown: list of values). 22. Case Status: (Dropdown: Open, Closed, Warrant), default to Open 23. Date of Disposition, if applicable **Vendor Response (written narrative here):**				

9.2 Amend Charges

Business Capability Description

The Prosecution files changes to charges which the clerk uses to update criminal and juvenile delinquency cases.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.2-01	Charge Amendment History Report For a case, show original indictment charges (see **DE 9.1-01 Indictment Data Exchange**, item #19) and amendments in chronological order. **Vendor Response (written narrative here):**				
AC 9.2-01	Amendments to Indicted Charges Enter amendments to indicted charges for charge disposition tracking purposes. **Vendor Response (written narrative here):**				

9.3 Accept Pleas

9.3.1 Accept Guilty Pleas

Business Capability Description

Judicial Officers accept guilty pleas – and courtroom staff enters them – to cases in which the defendant must appear.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 9.3.1-01	Enter Guilty Plea Enter data for a guilty plea to a charge, including whether the plea is to the original or an amended charge, and including penalties and conditions (see **9.6 Impose Sentence/ Judgment**), and automatically generate a minute entry. **Vendor Response (written narrative here):**				
AC 9.3.1-02	Record Plea History Enter and maintain the original plea, changes of plea, dates of changes for each charge, and the acceptance or rejection of the plea by the court. **Vendor Response (written narrative here):**				

9.3.2 Accept Not-Guilty Pleas

Business Capability Description

Judicial Officers accept not-guilty pleas – and courtroom staff enters them – to cases in which the defendant must appear. For cases in which the defendant need not appear, the defendant may enter a not-guilty plea via other communication means – and the clerk enters them.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 9.3.2-01	Enter Not-Guilty Plea Enter data for a not-guilty plea, and date for pretrial conference and trial, and automatically generate a minute entry. **Vendor Response (written narrative here):**				

9.4 Review Offender Risks and Needs

Business Capability Description

Judicial Officers review assessments about defendants prepared by others, or make decisions based on courtroom contact with defendants, regarding risks and needs of defendants that affect judicial decisions about bail, pre-trial supervision, sentencing, post-sentence supervision, problem-solving court sanctions.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.4-01	View Assessment For assessments prepared by others, display the results of assessments with information in the categories: demographics (including time in Lucas County, current and previous addresses), references, verification date of references and sufficiency, living environment, family background, education, employment, financial resources, history of drug use, risk factors, criminal history, health and mental health factors, and impairments or disabilities. **Vendor Response (written narrative here):**				
AC 9.4-01	Bail Schedule Display on demand the bail schedule and calculate bond recommendations based on established criteria (e.g., offense, prior convictions). **Vendor Response (written narrative here):**				
AC 9.4-02	Override Bail Amount Allow override/entry of bail amount (e.g., if bail pre-set). **Vendor Response (written narrative here):**				

9.5 Dispose Charges

Business Capability Description

Judicial Officers dispose of charges in a case, ensuring that all charges are disposed.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.5-01	Visual Tools for Disposing All Charges **Vendor Response (written narrative here):**				
AC 9.5-01	Dispose of Charges As a Single User Action Dispose of all charges in a case as a single user action, including the following: a. Compute and enter credit for time served or excludable into sentence imposed for each combination of charge and defendant; b. Compute and enter monetary penalties (e.g., fines, fees, restitution) based on sentence imposed for each combination of charge and defendant; c. Compute and enter non-monetary provisions (e.g., work program, restitution by services) based on sentence imposed for each combination of charge and defendant in accordance with state and local statutes, rules, or procedures; d. Link charges and fine or restitution amounts; e. Enter other details of sentence (e.g., whether consecutive or concurrent, conditions for probation) for each charge and defendant; f. Compute and enter fine or monetary restitution based on sanctions imposed on each person; enter nonmonetary provisions (e.g., community work service hours) based on sanctions imposed on each person; Associate monetary and non-monetary restitution with specific victim(s).				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				

9.6 Impose Sentence/ Judgment

Business Capability Description

Judicial Officers impose sentences – and clerks enter them in minute entries– including incarceration, fines, costs, restitution, supervision, treatment, and associated conditions. See **6.9.1 Produce Orders**.

Business Rules

State statutes specify sentence requirements.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.6-01	Visual Tools for Completing Elements of a Sentence (see **Appendix 1: Current Criminal Case Information Form (CCIF)**. **Vendor Response (written narrative here):**				
AC 9.6-01	Enter Sentence Elements Appropriate to Type of offense Display offense date and sentence elements appropriate to the type of offense being sentenced (e.g., misdemeanor, felony), and after selection and entry of the sentence elements, automatically generate a minute entry which correlates to the offense date. **Vendor Response (written narrative here):**				
AC 9.6-02	Record Conditions of Disposition or Sentence Enter conditions imposed by the judicial officer as a part of the disposition or sentence (e.g., community service, driver safety course, repair of vehicle, proof of insurance, driver license obtained, complete classes, avoid further violation) to be recorded so that compliance can be monitored and completion can be noted. **Vendor Response (written narrative here):**				
AC 9.6-03	List of Referral Organizations Display list of available resource referral organizations, contact information, type of referral, comments. **Vendor Response (written narrative here):**				
AC 9.6-04	Enter Multiple Sentences Enter multiple sentence elements for a charge, a defendant, or case, and automatically generate a minute entry. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 9.6-05	Update conditions Add new compliance conditions, as they are created. **Vendor Response (written narrative here):**				

9.7 Monitor Compliance with Active and Suspended Sentence/ Judgment

Business Capability Description

Judicial Officers impose sentences and, in appropriate cases, may suspend imposition of sentence or judgment (diversion, deferral, court supervision), pending compliance with conditions. Non-compliance is tracked by the following participants or party in a case Probation staff who monitors compliance with supervision and other conditions, and notify the court of non-compliance through motions or requests for summons or arrest for violation of conditions. (Probation case management system)

Business Rules

BR 9.7-01 Court Services Monitoring Procedures

Court policy provides procedures for Court Services and Compliance staff to monitor and enforce provisions of court orders.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.7-01	Court Supervision (Unsupervised Probation) Case Report For a date range, show the defendants sentenced with court supervision, with date sentenced, date of expiration, case number, date released from supervision. **Vendor Response (written narrative here):**				
AC 9.7-01	Record Compliance Status and Dates Record the status, due date and date of submission of the proof of compliance with specific conditions (e.g., course completed). **Vendor Response (written narrative here):**				
DE 9.7	Motion for Probation Revocation Data Exchange This data exchange from the Probation case management system notifies the Clerk that a motion for Violation of Probation are filed, including court appearance date and case status. Alternatively, Probation can e-file the motion. **Vendor Response (written narrative here):**				

9.8 Supervise Treatment of Defendants/ Youths in Problem-Solving Courts

Business Capability Description

A judicial officer supervises monitoring and treatment of a defendant/ youth selected to participate in a Problem-Solving Court, which is linked to one or more court cases but allows only restricted access to view because of privacy concerns about treatment information. The current types of Problem-Solving Courts are Juvenile Drug Court, Family Drug Court, Domestic Violence Court, and Sex offender

Treatment. A Problem-Solving Court case is an additional case type initiated by the court, with all of the same kinds of requirements as other case categories.

Vendors may treat problem-solving court cases as an additional court case type, or they may treat it as a Supervision case type (see **Attachment 3 Supervision CMS Capabilities and Scenarios section 6.11 Monitor Problem-Solving Court Case**).

Similar to other court case types, the following kinds of information are recorded for Problem-Solving Courts:

Element of Problem-Solving Court	Participation in Problem-Solving Court
1. Participants in program	1. Defendant/ youth, judge, court coordinator, case worker, probation officer, probation service providers, attorney
2. Data used to initiate and update the program	2. Defendant/ youth name and demographics, results of screenings and assessments, including history of drug use, risk factors, criminal history, health and mental health factors, impairments or disabilities, family factors, living environment, employment, education, financial resources
3. Status of program and participants	3. Type of Program, Initiated, Active, Inactive, Graduated, Terminated, Interpreter needed, Tracks, Phases of tracks
4. Event log of past events in the program	4. Events associated with participant status: Acceptance or rejection of the defendant into the program, reason for rejection, staffings held and participants, referrals for services and programs, results of substance abuse testing, supervision contacts, results of drug court proceeding
5. Documents associated with events in the log	5. Referral court order, releases executed by participants, treatment plans, supervision case plans, conditions of participation, progress reports from service providers, probation reports, completions on referrals
6. Scheduled events in the program	6. Staffing dates, appointments, ticklers
7. Financial information	7. Payment of court and treatment obligations
8. Notes by program managers	8. Program case notes, Administrative notes
9. Document generation using program information	9. Notices, warrants, correspondence, graduation certificate
10. Reporting	10. Number and demographics of defendants/ youths participating during reporting period; recidivism/success rate

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.8-01	Problem-Solving Court Case Dashboard Display At the top of each screen in a Problem-Solving Court case (after intake), the screen shows client name, type of Problem-Solving Court, next scheduled court session, # of days in the program, # of days clean, current phase, # of days in current phase, and # of sanctions given. **Vendor Response (written narrative here):**				
RD 9.8-02	Problem-Solving Court Case Calendar Call Docket For a date range in a Problem-Solving Court, the cases with scheduled court sessions, showing client name, case number, date/time, offense(s) convicted, probation officer, case manager, treatment provider, current phase.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
RD 9.8-03	Problem-Solving Court Case Load Report For a date range in a Problem-Solving Court, listing of cases by probation officer, case manager, treatment provider. **Vendor Response (written narrative here):**				
RD 9.8-04	Problem-Solving Court Case Entry/ Exit History For a date range in a Problem-Solving Court case, the events in the Confidential Log of Case Entry/ Exit Events. **Vendor Response (written narrative here):**				
RD 9.8-05	Problem-Solving Court Case Supervision History For a date range in a Problem-Solving Court case, the events in the Confidential Log of Supervision Events. **Vendor Response (written narrative here):**				
RD 9.8-06	Problem-Solving Court Statistics of Participation and Recidivism For a date range and for a particular Problem-Solving Court, the number of Problem-Solving Court cases initiated, terminated with type of termination, demographics of participants, recidivism rates, and case details including defendant name, case number and type of most serious case. **Vendor Response (written narrative here):**				
RD 9.8-07	Display of Problem-Solving Court Management Data a. Problem-Solving Court Type (Dropdown: drug, veterans, mental health) b. Case number c. Last Name d. First Name e. Middle Initial f. DOB g. Address (including address history) h. Phone Number i. Date of Arrest j. Offense(s) Convicted: Offense Class: (Dropdown: 1,2,3,4, CM, Other (specify)) Note: Need Class to Correspond to Each offense. There Can Be Multiple offenses Convicted k. Sentence Type: (Dropdown: Pre-Plea, Probation, C/D, Deferred) l. Date of Petition m. Date of Staffing on Assessment– multiple occurrences n. Result (Dropdown: Accept Or Reject) • If Reject, Reason (Dropdown: Withdrew Petition, Violence, Record Too Serious, Warrants/Detainers Outside Jurisdiction, Other (specify)) o. Date of Plea p. Incarcerated at Time of Entry? Yes/No q. Date Started Treatment r. Problem-Solving Court Coordinator, Case Worker, Attorney Name, Probation officer and Other Participants				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	s. Date Reviewed and Approved for Further Assessment by Prosecutor t. Date of Staffing on Assessment– multiple occurrences u. Result (Dropdown: Accept Or Reject) • If Reject, Reason (Dropdown: Withdrew Petition, Violence, Record Too Serious, Warrants/Detainers Outside Jurisdiction, Other (specify)) **Vendor Response (written narrative here):**				
AC 9.8-01	Problem-Solving Court Case Confidential Log of Events Make log entries of events in a Problem-Solving Court case in a limited-access log with information that must be accessible only to authorized roles, e.g., information disclosed at "staffing" of a case before the open-court hearing. See **DN 9.8-1 Problem-Solving Court Case Confidential Log of Events** **Vendor Response (written narrative here):**				
AC 9.8-02	Problem-Solving Court Case Initiation Configure screen to enable initiating a new Problem-Solving Court case by populating the case with assessment data and events in **DN 9.8-2 Initiate Problem-Solving Court Case with Assessment Data**. **Vendor Response (written narrative here):**				
AC 9.8-03	Problem-Solving Court Case Intake Configure screen to enable updating a Problem-Solving Court Case with intake data in **DN 9.8-3 Update Problem-Solving Court Case with Intake Data**. **Vendor Response (written narrative here):**				
AC 9.8-04	Problem-Solving Court Case Planning Update Confidential Log of Events with case planning events and attach treatment plans, supervision case plans, conditions of participation. **Vendor Response (written narrative here):**				
AC 9.8-05	Problem-Solving Court Case Weekly Compliance Configure screen to enable updating a Problem-Solving Court Case with intake data in **DN 9.8-4 Update Problem-Solving Court Case with Weekly Compliance Data**. a. System automatically enters the date of data entry b. No change from previous week – copy information from the week before **Vendor Response (written narrative here):**				
AC 9.8-06	Bulk Drug Test Results Enable scheduling the same drug test and recording results for a group of clients: a. Filter clients by phase, drug test color, gender and judicial officer b. For a filtered list of clients, enter data that applies to all: test type, test date, drugs tested c. Default results to negative – modify only if a drug test is positive **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 9.8-07	Problem-Solving Court Case Management Make Confidential Log entries of Problem-Solving Court hearings. **Vendor Response (written narrative here):**				
AC 9.8-08	Evaluation Capture and tabulate data needed for program evaluation (e.g., number and characteristics of participation, graduation and termination; effectiveness of sanctions and incentives; attendance at court, treatment sessions, and case manager meetings; money paid, recidivism) – exportable to Excel. See **13.1.3 Measure Performance of Problem-Solving Courts**. **Vendor Response (written narrative here):**				
AC 9.8-09	Problem-Solving Court Case Discharge Configure screen to enable updating a Problem-Solving Court Case with discharge data in DN 9.8-7 Update Problem-Solving Court Case with Discharge Data. **Vendor Response (written narrative here):**				
DN 9.8-01	Problem-Solving Court Case Confidential Log of Events A log of case events of a problem-solving court case, recording the date/ time of the events at different stages of the case (filterable by stage): assessment, intake, compliance, discharge. Drop-down choices of log entries include specified dropdown box choices. **Vendor Response (written narrative here):**				
DN 9.8-02	Initiate Problem-Solving Court Case with Assessment Data A Problem-Solving Court tracks events of defendants considered for entry, beginning with arrest of the defendant, and court staff or the clerk enters the following events into the confidential log of events: (all fields mandatory) **Vendor Response (written narrative here):**				
DN 9.8-03	Assessment Data a. Assessment Types Completed and Date (Dropdown: Multiple Selections Will Apply -- Psychological (Court Staff), Psycho-Social (VA), Psycho-Social (LCHD), Bond Report, PSI, LSI-R, GAIN (Global Appraisal of Individual Needs), Other (specify)) – multiple occurrences b. LSI-R Score c. LSI-R Risk Level **Vendor Response (written narrative here):**				
DN 9.8-04	Update Problem-Solving Court Case with Intake Data A Problem-Solving Court tracks events of defendants for intake, and court staff or the clerk enters the following events into the confidential log of events: (all fields mandatory) a. Problem-Solving Court Type (Dropdown: drug, veterans, mental health) b. Frequency of Court Session Reporting Required: Dropdown: Every Week, Every Other Week c. Problem-Solving Court Case Participants: i. Probation Officer				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	ii. Case Worker iii. Treatment Provider d. Incarcerated at Time of Entry? Yes/No e. Total Number Prior Misdemeanor Arrests f. Total Number Prior Felony Convictions g. Total Number Prior Periods of Probation h. Total Number Prior Periods of Prison i. Date Started Treatment j. Total days eligible (Maximum) to serve in custody: Dropdown: (List of values TBD) k. Total Number Prior SA Therapy Episodes l. Total Number Prior MH Therapy Episodes m. Total Number Prior Psychiatric Hospitalizations? Dropdown: Y/N i. If Yes, how many? n. Is Defendant a Veteran? Dropdown: Y/N i. If Yes, Branch Served: Dropdown: Army, Air Force, Marines, Coast Guard, Navy o. Actively Involved in Any Therapy at Time of Entry? Dropdown: Y/N i. If Yes, Type: (Dropdown: Substance Abuse/MH) ii. If Yes, Agency p. Psychotropic Meds? Dropdown: Y/N i. If Yes, Identify q. Primary Drug of Choice: Dropdown: Alcohol, Cocaine, Heroin, Prescription Pills, Methamphetamine, Other (specify), N/A (include more comprehensive list) r. Secondary Drug of Choice: Dropdown: Alcohol, Cocaine, Heroin, Prescription Pills, Methamphetamine, Other (specify), N/A s. Tertiary Drug of Choice: Dropdown: Alcohol, Cocaine, Heroin, Prescription Pills, Methamphetamine, Other (specify), N/A t. Is There a Chemical Dependence Diagnosis: Dropdown: Y/N u. DSM Diagnosis: Dropdown: Y/N i. If Yes, Dropdown: Possible Diagnosis v. Co-Occurring Disorder: Dropdown: Y/N w. Any History of Suicide Attempts? Dropdown: Y/N i. If Yes, Number x. Dependents? Dropdown: Y/N i. If Yes, How Many? ii. If Yes, Ages of Dependents? iii. Currently Have Custody of Children? Dropdown: Y/N iv. Any Past ODJFS Involvement? Dropdown: Y/N v. Any Current ODJFS Involvement? Dropdown: Y/N y. Disabled? Dropdown: Y/N z. Medical Insurance: Dropdown: None, Medicaid, Medicare, Private, Other (specify) aa. Employed at Time of Placement on the Program? i. Dropdown: PT, FT, Unemployed bb. Last Grade Completed cc. Income Source: Dropdown: None, Public Welfare, Social Security, Full-Time Job, Parents or Other Family, Pension, Other (specify) dd. Housing at Time of Arrest: Dropdown: Homeless, Independent Living,				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Sober Living Environment, Family Supported, Group/Nursing Home, DHS Facility, Transitional Housing, Other (specify) **Vendor Response (written narrative here):**				
DN 9.8-05	Update Problem-Solving Court Case with Weekly Compliance Data A Problem-Solving Court tracks events of defendants weekly by court staff entering the following events into the confidential log of events, with automated features (see Application Capabilities – copy information from previous week if no change, because most things don't change from week to week): (all fields mandatory, default no change) Case Data Updates (Non-Drug Related) a. Date of Next Scheduled Court Session b. Phase Change Date, Current Phase c. Change in Residence? (Default No) If Yes, Dropdown: DHS (Inpatient MH facility), Group Home, Hospital (emergency MH placement, detox), Halfway House, Independent Residence, Nursing Home, Oxford House, Residential Treatment Facility, Other (specify) (Jail, Homeless, Hospitalized by Medical Condition) d. New Address (add to address history) e. New offense (offender is formally charged). Dropdown of case type: CF, CM, OV/TR, VOP/PTR. If no new offenses, leave it blank. f. New Offense Date. If no new offenses, leave it blank. g. Judicial Status Hearing Date. If no court date, leave it blank. h. Judicial Status Hearing Attended. Dropdown: Y/N. If no court date, leave it blank. i. Judicial Status Hearing Excused. Dropdown: Y/N. If no court date, leave it blank. j. Therapeutic Sessions Scheduled (professional services). Dropdown: 1-6. k. Therapeutic Sessions Attended. Dropdown: 1-6. l. Therapeutic Sessions Excused. Dropdown: 1-6. m. Contacts Scheduled with Case Manager. Dropdown: 1-6. n. Contacts Attended with Case Manager. Dropdown: 1-6. o. Contacts Excused with Case Manager. Dropdown: 1-6. p. Hospital Days (emergency MH placement, detox). Dropdown: 1-6. q. Inpatient Treatment Days (emergency MH placement, detox). Dropdown: 1-6. r. Compliance with Program Requirements. Dropdown: Substantial compliance, non-compliance. s. Community Service Hours Completed. t. Sanction Date. If no sanction, leave blank. u. Sanction Type. If no sanction, leave blank. Dropdown: Curfew, Increase court attendance, Increase reporting, jail, no contact with person or place, phase demotion, public service, verbal warning, written assignment, Other (specify). i. If jail, how many days? v. Sanction Reason. If no sanction, leave blank. Alcohol/drug use detected, curfew, incomplete assignment, missed appointment, technical violation, violate no contact order, Other (specify). w. Incentive Date. If no incentive applied, leave blank. x. Incentive Type. If no incentive applied, leave blank. Dropdown: gift card,				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	pass (personal time from facility), phase promotion, relaxed curfew, Other (specify). • Incentive Reason. If no incentive applied, leave blank. Dropdown: Job acquired, phase completion, treatment compliance, treatment completion, Other (specify). **Vendor Response (written narrative here):**				
DN 9.8-06	Drug Test Data for Each Test Occurrence (See Application Capabilities for Bulk Drug Test Results) a. Type of Drug/Alcohol Test. b. Drug/Alcohol Test Result. Dropdown: Positive (any test with initial result positive), Negative (all test are negative or initial result negative). c. Drug/Alcohol Test Substance Detected. If all initial results negative, leave blank. Dropdown: alcohol, amphetamines, barbiturates, benzodiazepines, cannabinoids, cocaine, methamphetamine, opiates, other illicit substance, multiple substances detected. d. Drug Test Confirmed. . If all initial results negative, leave blank. Dropdown: Yes/No/Admit. **Vendor Response (written narrative here):**				
DN 9.8-07	Results of Screenings and Assessments Maintain templates and repositories of screenings and assessments that include such elements as the history of drug use, risk factors, criminal history, health and mental health factors, impairments or disabilities, family factors, living environment, employment, education, and financial resources. **Vendor Response (written narrative here):**				
DN 9.8-08	Treatment Case Plans Maintain templates and repositories of treatment plans, supervision case plans, conditions of participation. **Vendor Response (written narrative here):**				
DN 9.8-09	Update Problem-Solving Court Case with Discharge Data (all fields mandatory) a. Problem-Solving Court Type (Dropdown: drug, veterans, mental health) b. Date of Discharge c. Type of Discharge: Dropdown: Graduation, Revocation, Unsuccessful Termination (with reason for termination), Straight Termination, Deceased, Other d. Court Obligations: i. Court Costs Ordered ii. Court Costs Balance iii. Fines Ordered iv. Fines Balance v. PSF Ordered vi. PSF Balance vii. Restitution Ordered viii. Restitution Paid e. Judgment Entered? Dropdown: Y/N				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	f. Treatment Type: Click All That Apply: Dropdown: None, Residential D/A, Residential Co-Occurring, Residential MH, Outpatient D/A, Outpatient MH, Cog, Outpatient Co-Occurring, Recovery Coach Services, Anger Control, Parenting, Case Manager, Psychiatric Medication, Vocational/Educational Services, Other (specify) g. Mentor Services Provided? Dropdown: Y/N h. Did Defendant Regain Custody of Any Children While In Program: Dropdown: Y/N/N/A i. Any Children Born While in Program? Dropdown: Y/N • If Yes, Any Born Cocaine or Other Drug Positive?: Dropdown: Y/N j. Income Source: Dropdown: None, Public Welfare, Social Security, Full-Time Job, Parents or Other Family, Pension, Other (specify) k. Housing at Time of Release: Dropdown: Homeless, Independent Living, Sober Living Environment, Family Supported, Group/Nursing Home, DHS Facility, Transitional Housing, Other (specify) **Vendor Response (written narrative here):**				

9.9 Close Criminal/ Juvenile Delinquency Cases

Business Capability Description

The clerk administratively closes criminal cases when the court has ordered judgment on all charges, or when court action is suspended (i.e., when a defendant has an outstanding warrant), which stops the <Case Clock>. A case may be reinstated, and the <Case Clock> may be restarted or reset. See **5.1.6 Comply with Legal Deadlines**.

Business Rules

BR 9.9-01 Conditions of Criminal/ Juvenile Delinquency Case Closure

Court policy may identify activities and conditions that determine criminal/juvenile case closure:

1. Criminal/Juvenile

a. Active Status to a Closed Status:
   1. All charges have disposition
   2. If disposition requires sentences, appropriate sentences are added (i.e., no supervision sentence on a Guilty Disposition)
   3. Fines, Costs, Fees are assessed, where applicable
   4. Bond released or bond status appropriately modified.
   5. All necessary orders/papers generated for signature or filed with court.
   6. Future court dates added/provided, except court diversion.

Ideally, if there are related cases that are not provided dispositions, if an error message could be provided or the cases flagged.

b. Probation status to Closed status
   1. Fines, Costs and Fees are paid in full
   2. Restitution paid in full (does not always prevent closure, but flag it?)
   3. All conditions ordered have been satisfied
   4. No Active Petition to Revoke on File by the Termination Date

5. Cause ordered terminated/closed by court despite potential incomplete conditions
6. Court Diversion: Probation reports back completion, incompletion or ineligible and updates file electronically, adding appropriate disposition and closes case
7. Future court dates stricken from call

2. Juvenile – Conditions of Closure

a. Juvenile Delinquent
   - Petitions for Adjudication withdrawn
   - Probation/Sentences completed
   - Juvenile defendant reaches age of 21.
   - Paid in Full

b. Juvenile Abuse/Neglect
   - Petitions withdrawn
   - Adoption finalized
   - Guardian Appointed (other than ODJFS)
   - Wardship terminated

c. Juvenile
   - Order entered closing case

BR 9.9-02 Conditions Preventing Closure of Criminal/Juvenile Cases

Administrative closing of cases is an automated batch operation that checks mandatory conditions for closure, produces exception reports to trigger manual review, and updates case data.

1. Criminal/Juvenile Delinquency Cases – Conditions Preventing Case Closure

a. Charges missing dispositions
b. Dispositions of G (Guilty) or WJSUP (Withhold Judgment/Supervision) or WTHCD (Withhold Judgment/Court Diversion) without assessments or sentences
c. Outstanding warrant for def/body attachment for witness, (except AW (Active with Warrant) to WO (Warrant Outstanding 30 days)status)
d. Unavailable bond remaining on case
e. Petition to Revoke not withdrawn or resentenced.

2. Juvenile – Conditions Preventing Case Closure

a. Juvenile Delinquent
   - Charges missing dispositions
   - Outstanding warrant (except AW to WO)
   - Outstanding fees due (does not always prevent closure, but flag it?)
   - Outstanding restitution (does not always prevent closure, but flag it?)
   - Future dates still set
   - Violation of Probation not withdrawn or resentenced.

b. Juvenile Abuse
   - Not all parties adjudicated
   - Outstanding warrant/body attachment (except AW to WO)
   - Future court dates still set

c. Juvenile
   - No adjudication of party(ies)
   - Future Court dates still set

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.9-01	Administrative Case Close Exception Report - Criminal For a date range, a list of cases that cannot be administratively closed because not all conditions are met, showing case number, defendant name, and exceptional conditions. **Vendor Response (written narrative here):**				
AC 9.9-01	Automatic or Manual Criminal Case Closure Close case either automatically using **BR 9.9-1 Conditions of Case Closure**, or manually (e.g., change status to closed; update Register of Actions; generate required forms, notices, reports for that case). See **RD 9.9-1 Administrative Case Close Exception Report – Criminal**. **Vendor Response (written narrative here):**				
AC 9.9-02	Record Proof of Compliance Record proof of compliance to satisfy charges prior to court appearance, including the capture of scanned images of certificates, pictures, papers, and other forms of proof. **Vendor Response (written narrative here):**				
DE 9.9-01	Set Alerts for Criminal Holds – Data Exchange Flag cases if there is any type of hold that must be cleared before closure. See**14.4 Use the Case Status to Trigger Actions**. **Vendor Response (written narrative here):**				

10 Manage Judgments

10.1 Record Judgments

Business Capability Description

Courts make and clerks enter findings, verdicts, final orders and civil judgments. When a foreign judgment is filed, the clerk assigns the appropriate civil case number. The clerk maintains a Money Judgment Index and a Small Claim Index of money judgments entered against a party.

Business Rules

BR 10.1-1 Judgment Lien Index. ORC 2329.02 Judgment lien - certificate of judgment - filing - transfer.

The clerk of court shall docket and index a certificate of judgment under the names of the judgment creditors and the judgment debtors in a judgment docket.

BR 10.1-02 Interest on Judgments

O.R.C. 5703.47 delegates the establishment of the interest rate on judgments to the Commissioner of the Ohio Department of Taxation. On October 15 of each year the Commissioner is required to determine the then existing “federal short term rate” to the nearest whole percent. To that figure 3% is added to establish the Ohio judgment interest rate for the next calendar year, to accrue at the rate of X% per annum from date of the judgment until satisfied. Simple interest is computed and charged only on the unsatisfied portion of the judgment, and not on any costs.

BR 10.1-02 Dormant Judgments

O.R.C. 2329.07 Judgment may become dormant five years from the date of the judgment or within five years from the date of the issuance of the last execution thereon or the issuance and filing of the last such certificate, whichever is later.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 10.1-01	Capture Civil Judgment Info Ability to enter who judgment is in favor of, the date, and the amount. **Vendor Response (written narrative here):**				
AC 10.1-02	Status of Judgment a. Enter status of judgment, e.g., vacated, amended, satisfied, dormant. b. When the judgment is retrieved, automatically display "May be Dormant" if more than five years has elapsed since entry of the judgment. **Vendor Response (written narrative here):**				
AC 10.1-03	Interest on Judgment Calculate simple interest on unsatisfied portions of a judgment, using date of judgment, ending date (entered by the clerk), and interest rate – see **BR 10.1-02 Interest on Judgments**. **Vendor Response (written narrative here):**				
DN 10.1-3	Judgment Lien Index The Judgment Lien Index shall include all judgments and decrees which impose upon parties the obligations to pay fixed amounts of money which are enforceable by execution, levy and sale. See **BR 10.1-1 Judgment Lien Index** **Vendor Response (written narrative here):**				

10.2 Renew Civil Judgments

Business Capability Description

The clerk enters renewal of a civil judgment if the judgment is renewed before its statute of limitations runs.

Business Rules

BR 10.2-01 Revival of Judgment

State statute provides how to revive a judgment.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 10.2-01	Payment of Judgment Renewal Fee Clerk receipts judgment renewal fee and marks the judgment as "Renewed." **Vendor Response (written narrative here):**				

10.3 Record Satisfaction of Civil Judgments

Business Capability Description

The clerk records a release, assignment or other satisfaction (i.e., vacation) of civil judgments.

Business Rules

Satisfaction of Civil Judgment Enter the kind of satisfaction to be recorded on the case Register of Actions for a judgment, and date of entry.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 10.3	**Type of Satisfaction for a Judgment** A drop-down list of type of satisfaction includes release, assignment, satisfaction, opening, or vacation of a judgment. **Vendor Response (written narrative here):**				

10.4 Enforce Civil Judgments

10.4.1 Issue Writs

Business Capability Description

Upon request by a judgment holder, the clerk issues a writ (e.g., execution, wage or non-wage garnishment, attachment, replevin) for the sheriff's office to execute.

Business Rules

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 10.4-01	Application for Writ Issue writ – see **1.2 Issue Documents**. **Vendor Response (written narrative here):**				
AC 10.4-02	Record information on Garnishment in a Case See **DN 10.3.1 Data Captured for Garnishment**. A case may include multiple garnishments. **Vendor Response (written narrative here):**				
AC 10.4-03	A garnishment proceeding may involve one or more garnishees (the person holding the property). Garnishee information that needs to be captured includes the following: a. Garnishee name (employer, business) b. Garnishee address (street, city, state, zip code) **Vendor Response (written narrative here):**				
DN 10.3.1	Data Captured for Garnishment The following details of a garnishment proceeding need to be captured for reference for each garnishment (there may be several within a case): a. Garnishment type (earnings, bank account, other) b. Date filed c. Issue date (only one garnishment can be active at a time, so issue date remains blank until activated) d. Amount garnished				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	e. Expiration date if any f. Balance **Vendor Response (written narrative here):**				

10.4.2 Return Writ of Execution and Levy against Assets

Business Capability Description

The clerk records a return on a writ by the sheriff's office. The sheriff's office subsequently executes a judgment lien through levy (seizure and sale) against the judgment debtor's assets.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 10.4.2-01	Writ of Execution Issued Mark a case as having a writ of execution issued. **Vendor Response (written narrative here):**				
AC 10.4.2-02	Record Service of Writ of Execution and Levy Record Service - see **3.3 Record Service**. **Vendor Response (written narrative here):**				

10.4.3 Supplementary Proceedings - Debtor's Exam

Business Capability Description

The clerk issues a citation directing a judgment debtor to appear in court to be examined for the purpose of allowing the judgment creditor to discover income and assets belonging to the judgment debtor or in which the judgment debtor has an interest. Failing to appear subjects the person to being held in contempt by the court.

Business Rules

BR 10.4.3-01 Debtor's Examination

ORC 2333.09 Order for examination of a judgment debtor. A judgment creditor shall be entitled to an order for the examination of a judgment debtor concerning his property, income, or other means of satisfying the judgment upon proof by affidavit that such judgment is unpaid in whole or in part.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 10.4.3-01	Order to Discover Assets Issued Mark a case (entry in ROA) as having an order issued for debtor's examination to discover assets. **Vendor Response (written narrative here):**				

10.5 Close Civil Cases

Business Capability Description

The clerk administratively closes civil (non-criminal/ non-traffic) cases when court action is completed (i.e., a divorce decree is granted, though child support is ongoing, probate estate is established and annual reporting will continue), or when court action is suspended (i.e., a civil case is in abeyance during bankruptcy), which stops the **<Case Clock>**. A case may be reinstated, and the **<Case Clock>** may be restarted or reset. See **5.1.6 Comply with Legal Deadlines**.

Business Rules

BR 10.5-01 Conditions of Civil Case Closure

Court policy may identify activities and conditions that determine civil case closure (e.g., lack of service within a certain time, failure to prosecute after a certain period) or prevent a case from being closed (e.g. bankruptcy stay).

Civil Cases – Conditions for Closure

a. Order entered disposing of all/final people/issues in case
b. Foreclosure – Judgment Order does not close the case, but the Order approving sale does.

BR 10.5-02 Conditions Preventing Closure of Civil Cases

Administrative closing of cases is an automated batch operation that checks mandatory conditions for closure, produces exception reports to trigger manual review, and updates case data.

Civil – Conditions Preventing Case Closure

d. Not all parties adjudicated (excluding minors on D (Divorce) cases, interested parties, intervening parties, etc.)
b. Physical Order closing case not prepared/entered
c. Outstanding fees due (does not always prevent closure, but flag it?)
d. Outstanding Body Attachment
e. Future court dates still set

PA 10.5 Administrative Closing of Cases

Administrative closing of cases is an automated batch operation that checks mandatory conditions for closure, produces exception reports to trigger manual review, and updates case data.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 10.5	Administrative Case Close Exception Report - Civil For a date range, a list of cases that cannot be administratively closed because not all conditions are met, showing case number, defendant name, and exceptional conditions. **Vendor Response (written narrative here):**				
AC 10.5-01	Automatic or Manual Civil Case Closure Close case either automatically using **BR 10.5-1 Conditions of Civil Case Closure**, or manually (e.g., change status to closed; update Register of Actions; generate required forms, notices, reports for that case). See **RD 10.5-1 Administrative Case Close Exception Report - Civil**. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 10.5-02	Set Alerts for Civil Holds Flag cases if there is any type of hold that must be cleared before closure. See **1.4 Use the Case Status to Trigger Actions**. **Vendor Response (written narrative here):**				

11 Manage Court Records

11.1 Retain/ Purge Court Records

Business Capability Description

Clerks retain and purge court records based on record retention rules and rules for return of trial exhibits.

Business Rules

BR 11.1-01 Record Retention Schedule

Ohio Rules of Superintendence RULE 26 Court Records Management and Retention provides for record retention and destruction for court record.

BR 11.1-02 Retain Exhibits While the Right of Appeal Exists

Rules provide that in cases in which the defendant has been found guilty, the clerk must retain exhibits while the right of appeal exists, and also until the defendant has paid the fine, served his sentence, or has been released from probation or parole.

BR 11.1-03 Release Exhibits After the Right of Appeal Has Passed

Rules provide that when the right of appeal has passed in cases in which the defendant has been found guilty, the clerk may release exhibits, or at any time by order of the judicial officer who presided at the trial of the case.

BR 11.1-5 Disposition of Trial Exhibits

Rules requires the clerk to notify attorneys who introduced exhibits into evidence that they should claim the exhibits after trial.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 11.1-01	List of Cases as Candidates for Destruction As of a specific date, a list by case type of cases which exceed the required record retention schedule. **Vendor Response (written narrative here):**				
RD 11.1-02	List of Cases with Exhibits Retained For a date range, the list of cases in case number order with trial exhibits retained by the clerk which were admitted into evidence during trial, with date of trial and names of lead attorneys at trial. **Vendor Response (written narrative here):**				
RD 11.1-03	List of Unclaimed Exhibits 30 days after notice to trial exhibit owners, the list of unclaimed exhibits identifies exhibits eligible for sale or destruction. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 11.1-01	Purging Cases Subject to Destruction Support purging of completed cases that exceed record retention rules, and provide tools to identify them and mark them as destroyed. **Vendor Response (written narrative here):**				
AC 11.1-02	Notify AOIC of Intent to Destroy Records Support notifying the Director of the Administrative office of the clerk's intention to destroy court records – see **BR 11.1-2 Records Disposal Procedure**. **Vendor Response (written narrative here):**				
AC 11.1-03	Notify Exhibit Owners Generate notice to exhibit owners that exhibits are eligible for return in closed cases, within 30 days. **Vendor Response (written narrative here):**				

11.2 Send or Return Court Records

Business Capability Description

Clerks send the original or a copy of a case record for purposes of appeal, transfer out of county on a change of venue or change of place of trial, writ of mandamus, archival.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 11.2-01	Electronic Copy of Case Record Enable selection of items in the case record, and electronic compilation, with Bates numbering. **Vendor Response (written narrative here):**				

12 Control Access to Court Records

12.1 Access Court Records Based on Job Role

Business Capability Description

Courts protect personal privacy and confidentiality of matters that a court handles. Staff members of courts and clerks (and judicial officers) need access to records reflecting their different purposes according to their job functions.

Business Rules

BR 12.1 Data and Document Security Levels by Case Type and Work Role

Court policy may provide rules by case type and by user group roles for access to case information and to elements of a case.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 12.1-01	Person/ Role with Access Rights Report As of a certain date, a list of users and their roles, sortable by name and role, with access rights to case types and elements of a case, the date of setup, and expiration date. **Vendor Response (written narrative here):**				
AC 12.1-01	Configuration of User Group Roles to Case Types a. Some role codes have access to ALL case types: defendant, respondent, attorney for petitioner, etc. b. Some role codes have access to a limited number of case subtypes: juvenile – father of has access to public and JV non-delinquencies c. Some role codes have no access & are used for "information only" purposes by the clerk: physician, protected party **Vendor Response (written narrative here):**				
AC 12.1-02	Configuration of User Group Roles to Elements of a Case Enable configuring user group roles with permissions to view, add, edit, and/or delete the following within each case-type: a. Document type b. Event type c. Data field d. Query/report e. Form letter/notice/order f. Calendar g. User screen h. Person on cases (e.g., attorneys assigned to the case) i. Standardized reports and queries j. Sealed documents k. Case notes (and permission to designate them as private or shared with other designated user groups) **Vendor Response (written narrative here):**				
AC 12.1-03	Prevent each user from accessing records and performing actions, unless the user has a security level at least equal to the security level for the record or action. **Vendor Response (written narrative here):**				

12.1.1 Seal (Expunge)/ Unseal Cases

Business Capability Description

In Ohio, expungement is the same as sealing a record, and includes sealing of records of non-conviction.

After a person applies for a case to be sealed, a judge may order a case or information in a case to be sealed, e.g., completed adoptions, electronic criminal surveillance applications and orders, petitions to seal a record. Once the court has considered the sealing application, and decided the offender's record should be sealed, the court orders

all official records pertaining to the case sealed, and the proceedings will be considered not to have occurred.

Expungement of a case leaves the financials in place while removing reference to the party name on the case and restricting the remaining data only to users with access rights. Data regarding expungements (including the defendant's name) needs to be stored so Clerk staff with access rights can search/run a report when necessary.

Where case records are paper, the clerk secures documents in sealed cases in an envelope sealed with tape, securely files the sealed file folder or document, and changes the docket/ Register of Actions to identify the case number as "Sealed."

Business Rules

BR 12.1.1 Convictions to be Sealed

ORC §2953.32 [Effective 9/19/2014] Sealing of conviction record or bail forfeiture record. This statute provides that an eligible offender may apply to the sentencing court if convicted in this state, …, for the sealing of the record of the case that pertains to the conviction.

Process Activities

a. An applicant files and application and pays a fee.
b. The court schedules a hearing with notice to the prosecutor and probation.
c. The court decides whether to seal a criminal record, and may order the clerk to seal all official records of the case that pertain to the conviction or bail forfeiture.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 12.1.1-01	Query Results on Sealed Case Display the words "Sealed." **Vendor Response (written narrative here):**				
AC 12.1.1-01	Authorized Users to Seal/ Unseal Documents/ Cases Allow authorized users (with a higher security level) to: a. Seal/unseal individual documents within a case b. Designate cases as sealed, and unseal cases. c. Search for and report/ display sealed documents/ cases. **Vendor Response (written narrative here):**				

12.2 Monitor Case Access/ Update Audit Trail

Business Capability Description

Courts audit which user updated a certain case on a certain date or during a certain period.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 12.2-01	Audit Trail Report by Case For a date/ time range, a list of updates to a case, by date, and user identification of the person updating the case. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 12.2-02	Audit Trail Report by User For a date/ time range, a list of updates to cases made by a user. **Vendor Response (written narrative here):**				
AC 12.2-01	Logging of User Activity Enable configuring the system to log any or all user activity, including the username, date, time, workstation address and details of all data/ events/ files viewed, added, edited, and deleted by each user, and to display all user account logs. **Vendor Response (written narrative here):**				
AC 12.2-02	Turn System Audit Trails On and off System configuration must support optional logging and audit trails that can be turned on and turned off for all cases, or for certain cases. **Vendor Response (written narrative here):**				

12.3 Produce Bulk Data Reports

Business Capability Description

Courts export data in a batch operation

Business Rules

BR 12.3 Bulk Data Dissemination Policy

Sup. R. 46. Court Records - Bulk Distribution. A(1)(a) specifies kinds of data provided in bulk (with different provisions if the bulk distribution requires creation of a new compilation) and the fee for providing it.
Sup. R. 47. Court Records – Application, Remedies, and Liability. The provisions of Sup. R. 44 through 47 require redaction or omission of information in case documents or restricting public access to case documents.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 12.3-01	Bulk Data Dissemination Report For a given batch operation, it shows a summary of the number of cases by type, the number of lead plaintiffs and lead defendants. **Vendor Response (written narrative here):**				
AC 12.3-01	Package Bulk Data Enable packaging of bulk electronic court record data in one or more electronic formats, using a fixed and standard set of predetermined data elements extracted from an entire file or substantial subset of a file maintained as a computerized court record; omitting identifying fields including, but is not limited to, birth date, social security number, race, gender, or any other individual characteristic of a party. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 12.3-02	Record a fee for bulk data service. **Vendor Response (written narrative here):**				

13 Obtain Contract Services

13.1 Establish Contract with Service Provider

Business Capability Description

Court administration contracts with service providers for a variety of ongoing services: interpreters, indigent/ conflict counsel, court reporters, transcripts for indigent parties, expert witnesses in indigent cases, IT service providers, providers of miscellaneous goods and services. . Court administration manages performance of contractors and approves payment when an invoice is submitted.

Types of qualified and approved service providers are set forth in **2.6 Track Certifications/ Registration.**

Business Rules

BR 13.1-01 Court-Appointed Counsel and Experts for Indigent Defendants

Local Rule 4.04 specifies the process for submitting an application for fees and prior approval to obtain the services of an expert.

Process Activities

PA 13.1-01 Court-Appointed Counsel Registration

Set up a contractor for internal reference – obtain registration for court-appointed counsel list, W-9, Lucas County Master Vendor Form, OPERS Independent Contractor Acknowledgment

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 13.1-01	Registered Court Appointed Counsel List For a date range, the report contains the names of registered attorneys on the list, the date of appointment, and date of removal from the list, if any. (Each case type for potential appointment has a separate entry.) **Vendor Response (written narrative here):**				
AC 13.1-01	Check if contractor is on list of approved or qualified professionals: RD 13.1-01 Registered Court Appointed Counsel List RD 2.6-01 List of Approved Guardians ad Litem under Juvenile Rule 6 RD 2.6-02 List of Mediators Qualified under Juvenile Rule 11.5 RD 2.6-03 List of Interpreters RD 2.6-04 Licensed Treatment Service Provider List **Vendor Response (written narrative here):**				
AC 13.1-02	Enter contractor data fields (Dropdown: name, type of service, contact numbers, email addresses and postal address)				

13.2 Receive Request for Payment from Service Provider, Verify, Submit

Business Capability Description

Contract service providers invoice the Court for services provided.

Business Rules

Process Activities

For court-appointed attorney representation:

1. Attorneys representing indigent parties prepare a motion and judgment entry authorizing payment of expenses incurred in a courtroom.
2. Court administration staff verifies performance by the attorney
3. The judge authorizes payment.
4. Court administration enters payments into the county PeopleSoft system, and the county auditor distributes payments to entities outside county government

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 13.2-01	Service Provider Work Invoice Display For a date range, for all invoices for a service provider of services provided, showing for each item of service, type of service, case number, defendant name, date/ time, and type of hearing **Vendor Response (written narrative here):**				
RD 13.2-02	Service Provider Work Verification Report For a date range, for a contract provider of services provided, showing for each item of service the case number, defendant name, date/ time (based on attendance at a hearing recorded by the courtroom staff) **Vendor Response (written narrative here):**				
RD 13.2-03	Generate a statement of interpreter appearances in court sessions for payment purposes. Other Contractors				
AC 13.2-01	Log Invoice for Services Provided When the service provider contractor invoices the Court, log the invoice in the contractor's services log (Dropdown: date/time of service, case number, defendant, type of hearing). **Vendor Response (written narrative here):**				
AC 13.2-02	Verify Services Provided by Provider Provide the means to verify that services were provided in cases for specific parties/ defendants, i.e., search minute entries for attendance at court of interpreters and counsel. **Vendor Response (written narrative here):**				
AC 13.2-03	Enter expense type from a drop-down list, payee, date, and invoice amount for the following types of expenses or similar expense types, and scan receipts for goods and services provided: (Recommended Practice) 1) Juror sequestration expenses from Sheriff 2) Venue change venue case expenses 3) Mental health services 4) Food reimbursement 5) Child care reimbursement				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Other out-of-pocket expenses **Vendor Response (written narrative here):**				
DN 13.2-01	Log of Services by Contractor Similar to a register of actions, services provided by each contractor will be logged in that contractor's own log as of the date provided, with a description of the type of service, case number, defendant name, date/ time, and type of hearing **Vendor Response (written narrative here):**				

14 Measure Performance

14.1 Measure Court Performance

14.1.1 Measure Performance with CourTools

Business Capability Description

The court measures caseflow management performance using CourTool performance measures.

Business Rules

BR 14.1.1-01 RULE 37.02 Courts of Common Pleas Reports. (A) Judge reports
Each judge of a general, domestic relations, or juvenile division of a court of common pleas shall prepare and submit monthly a completed report of the judge's work in that division. Each judge of a probate division of a court of common pleas shall prepare and submit quarterly a completed report of the judge's work in that division.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 14.1.1-01	CourTool Performance Measure 2 Clearance Rates Report Courtwide or by division, for a date range, by case type/ subtype, a summary of clearance rates ("CourTool" Performance Measure 2) - number of outgoing cases as a percentage of the number of incoming cases. **Vendor Response (written narrative here):**				
RD 14.1.1-02	CourTool Performance Measure 3 Timeliness of Case Disposition Report Courtwide or by division, for a date range, by case type/ subtype, a summary of the timeliness of case disposition ("CourTool" Performance Measure 3) – percentage of cases disposed within the established time frames. **Vendor Response (written narrative here):**				
RD 14.1.1-03	CourTool Performance Measure 4 Age of Pending Caseload Report Courtwide or by division, for a date range, by case type/ subtype, a summary of the age of the active pending caseload ("CourTool" Performance Measure 4) - measured as the number of days from filing until the time of measurement. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 14.1.1-04	CourTool Performance Measure 5 Trial Date Certainty Report Courtwide or by division, for a date range, by case type/ subtype, a summary of trial date certainty ("CourTool" Performance Measure 5) - number of times cases disposed by trial are scheduled for trial. **Vendor Response (written narrative here):**				
RD 14.1.1-05	Continuance Report Courtwide or by division, for a date range, by case type/ subtype, a list of cases and summary of the continuances in cases, by who requested continuance, and the length of continuances. **Vendor Response (written narrative here):**				
RD 14.1.1-06	Monthly Report of Judge's Work For a date range, display a report satisfying **BR 14.1.1-01 RULE 37.02 Courts of Common Pleas Reports. (A) Judge reports.** **Vendor Response (written narrative here):**				
AC 14.1.1-01	Standard CourTool Report Generator Provide a report generator capable of producing standard CourTool reports with performance safeguards (e.g., warning about the number of results to be reported). **Vendor Response (written narrative here):**				
AC 14.1.1-02	Ad Hoc Report Generator Provide a report generator so user-friendly that users can prepare their own reports. **Vendor Response (written narrative here):**				
AC 14.1.1-03	Scheduling Reporting Allow scheduling of when a report is to run. **Vendor Response (written narrative here):**				

14.1.2 Measure Performance of Problem-Solving Courts

Business Capability Description

The court monitors compliance of cases in drug court and other problem-solving courts, in evaluating outcomes of cases.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 14.1.2-1	**Problem-Solving Currently Active Participants Report** For a given date, the number of participants currently active in a particular Problem-Solving Court, with categorization to reflect the number of persons in specific program phases, duration of time in program, and principal types of treatment being provided. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 14.1.2-2	Problem-Solving Retention Rate Report For cases initiated within a date range for a particular Problem-Solving Court, as of a configurable number of days after initiation, show the percentage of retained (graduated or open), and the remaining percentage not retained (failed or with outstanding warrant). **Vendor Response (written narrative here):**				
RD 14.1.2-3	Problem-Solving Successful Completion Report For a given period, the number of participants who have successfully completed a particular Problem-Solving Court, and their characteristics. **Vendor Response (written narrative here):**				
RD 14.1.2-4	Problem-Solving Termination Report For a given period, the number of participants who have been terminated from a particular Problem-Solving Court, reasons for termination, and length of time in the program before termination. **Vendor Response (written narrative here):**				
RD 14.1.2-5	Problem-Solving Sanctions and Incentives Report For a given period, the number of criminal justice sanctions imposed on participants, and incentives applied, in a particular Problem-Solving Court. **Vendor Response (written narrative here):**				
RD 14.1.2-6	Problem-Solving FTA and Bench Warrant Report For a given period, the number of participants who fail to appear at Problem-Solving Court hearings, and number of bench warrants issued for participants by stage of participation in a particular Problem-Solving Court. **Vendor Response (written narrative here):**				
RD 14.1.2-7	Problem-Solving Rearrest Report For a given period, the number of rearrests during involvement in the Problem-Solving Court program and for a period of at least 1 year thereafter, and the types of arrests (e.g., drug possession, other nonviolent offense, violent offense), in a particular Problem-Solving Court. **Vendor Response (written narrative here):**				
RD 14.1.2-8	Problem-Solving Payment Report For a given period, the fees, fines, costs, and restitution paid by each participant in a particular Problem-Solving Court. **Vendor Response (written narrative here):**				
RD 14.1.2-9	Problem-Solving Community Service Report For a given period, the community service hours completed by each participant in a particular Problem-Solving Court. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 14.1.2-10	Problem-Solving Drug Test History Report For a given period, the drug test histories of each participant while in a particular Problem-Solving Court. **Vendor Response (written narrative here):**				
RD 14.1.2-11	Problem-Solving Attendance and Treatment Progress Report For a given period, the record of attendance at treatment sessions and case manager meetings in a particular Problem-Solving Court. **Vendor Response (written narrative here):**				

14.2 Report What is Measured

14.2.1 Provide Access to Public Information

Business Capability Description

Courts provide electronic access to court records by making access to certain court records convenient for the public while protecting the privacy of identifiable interests.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 14.2.1-01	Provide a public portal that allows attorneys and the general public to access court information and documents. **Vendor Response (written narrative here):**				

14.2.2 Report Private Information – Self, Administrative Judge

Business Capability Description

Court administration provides information useful to judicial officers and administrative judges of the divisions on a variety of performance measures in case management, to assist in managing individual caseload and the court-wide caseload. This information is by default private, though some may be released to the public, if permitted by court rule.

Business Rules

BR 14.2.2-01 Private Judicial Performance Information

Court policy may specify what judicial performance measure information is private.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 14.2.2-01	CourTool Performance Measure 2 Clearance Rate Report by Judicial Officer For a date range, by judicial officer, by case type/ subtype, a list of cases and summary of clearance rates - number of outgoing cases as a percentage of the number of incoming cases. **Vendor Response (written narrative here):**				
RD 14.2.2-02	CourTool Performance Measure 3 Time to Disposition Report by Judicial Officer For a date range, by judicial officer, by case type/ subtype, a list of cases and summary of the timeliness of case disposition – percentage of cases disposed within the established time frames. **Vendor Response (written narrative here):**				
RD 14.2.2-03	CourTool Performance Measure 4 Age of Active Pending Caseload Report by Judicial Officer For a date range, by judicial officer, by case type/ subtype, a list of cases and summary of the age of the active pending caseload - measured as the number of days from filing until the time of measurement. **Vendor Response (written narrative here):**				
RD 14.2.2-04	CourTool Performance Measure 5 Trial Date Certainty Report by Judicial Officer For a date range, by judicial officer, by case type/ subtype, a list of cases and summary of number of trial dates set - number of times cases disposed by trial are scheduled for trial. **Vendor Response (written narrative here):**				
RD 14.2.2-05	Age of Pending Motions in Post-Conviction Cases Report by Judicial Officer For a date range, by judicial officer, age of pending motions, in post-conviction cases a list of cases and summary (90 day rule). **Vendor Response (written narrative here):**				
RD 14.2.2-06	Bench Trials by Case Type and Track Type Report For a date range, by judicial officer, a list of cases and summary of bench trials by percentage breakdown by case type/subtype, and track type (if any). **Vendor Response (written narrative here):**				
RD 14.2.2-07	Length of Bench Trials Report For a date range, a list of cases and summary of bench trials and their length, by case type/subtype, in smallest time measure increment used. **Vendor Response (written narrative here):**				
RD 14.2.2-08	Jury Trials by Case Type and Track Type Report For a date range, by judicial officer, a list of cases and summary of jury trials by percentage breakdown by case type/subtype, and track type (if any). **Vendor Response (written narrative here):**				
RD 14.2.2-09	Length of Jury Trials Report For a date range, a list of cases and summary of jury trials and their length, by case type/subtype, in smallest time measure increment used. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 14.2.2-10	Comparison of Continuances Report For a date range, by judicial officer, by case type/ subtype, a list of cases and summary of the continuances in cases, by who requested a continuance. **Vendor Response (written narrative here):**				
RD 14.2.2-11	History of Jurors Requested Report See **DM 5.1.7-02 History of Jurors Requested** **Vendor Response (written narrative here):**				
RD 14.2.2-12	Number Jurors Used by Case Type Report For a date range, by judicial officer, by case type/ subtype, a list of cases and summary of the number of jurors used. **Vendor Response (written narrative here):**				
RD 14.2.2-13	Comparison of Estimated Juror Needs to Actual Numbers of Jurors Used Report See **DM 2.1.1-5 Estimate of Juror Needs and Actual Numbers of Jurors Used** **Vendor Response (written narrative here):**				
RD 14.2.2-14	Judicial Officer Go-to-Trial Ratio Report See **DM 5.1.7-6 Judicial Officer Go-to-Trial Ratio** **Vendor Response (written narrative here):**				
RD 14.2.2-15	Attorney Jury Trial Rate Report See **DM 5.1.7-7 Attorney Go-to-Trial Ratio** **Vendor Response (written narrative here):**				

14.2.3 Measure Court/ Clerk Staff Work Performance

Business Capability Description

Court administration and the clerk of court monitor the level of customer service, execution of tasks in work queues, identify bottlenecks, reallocate staff dynamically based on workload, and assess whether scheduling and resource use are effective.

Business Rules

BR 14.2.3 Customer Service Expectations

Court policy may specify how the length of time for responding to items in a work queue, by user role, as a means of setting expectations for response times for court customers.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 14.2.3-01	Work Queue Display For a given date/ time, a display of the number and type of items in a work queue (detail of work items exportable for Excel analysis). **Vendor Response (written narrative here):**				
RD 14.2.3-02	Work Item Flow Report For a date/ time range, by work queue type and work item type, a summary of the number of work items in a work queue, the length of time of work items in the work queue, and the number of times work items are forwarded before being completed. **Vendor Response (written narrative here):**				
RD 14.2.3-03	Work Item Bottleneck Report For a date/ time range, by work queue type and work item type, a summary of the percentage of work items that exceed the standard time. **Vendor Response (written narrative here):**				
RD 14.2.3-04	Length of Time in Work Queue Measure and log the length of time a work item is in a work queue, by type of work item (e.g., filing review, court customer query response, internal query response). **Vendor Response (written narrative here):**				
DN 14.2.3-01	Work Item Processing History This table stores the date/ time a work item is posted to a work queue and the date/ time it is disposed (including referral to someone else), with work item type, queue type, **Vendor Response (written narrative here):**				

15 Adapt to Changing Business Environment

15.1 Reference Applicable Statutes/ Codes

Business Capability Description

Look up statutes and codes that are in effect currently as well as of a certain date, when one may have changed during the interim

Business Rules

Reference specific state statutes, state court rules, local ordinances, local court rules

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 15.1-01	List of Statutes Report The report shows all statutes, sorted alphabetically or by code number, and effective date and end date. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 15.1-01	Track and Link Statutory Changes to Charges Maintain effective dates (beginning and ending) for charge table entries that can be compared with the offense date in individual cases. **Vendor Response (written narrative here):**				
AC 15.1-02	Manage Offense Codes Manage offense codes, including an end date on each code, so that historical records may reflect the pertinent law at the time the offense was committed. **Vendor Response (written narrative here):**				
AC 15.1-03	Maintain Fines, Costs and Fees Schedule Add and change new fees, fees and assessments as the law changes. **Vendor Response (written narrative here):**				

15.2 Modify Work Procedures and Business Rules to Respond to Changing Requirements

Business Capability Description

Add and change workflows and business rules to meet changing legal and work requirements.

Business Rules

Reference specific state statutes, state court rules, local ordinances, local court rules

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
15.2-01	Configure Workflow for Routing Tasks Configure workflows for routing tasks to work roles who must take action on them (e.g., route grievance to supervisor with authority to approve, route completed reclassification to supervisor for approval) **Vendor Response (written narrative here):**				
15.2-02	Configure Person/ Event Status Flags Set up person/ event status flags to trigger and support automated work procedures, such as interpreter needed, release, medical appointment, etc. **Vendor Response (written narrative here):**				
15.2-03	Configure Business Rules Set up business rules appropriate to business processes as set by facility policy, to update the case status whenever a certain condition is detected or a case event is recorded. Business rule settings are Sys Admin-modifiable through a business rules table. **Vendor Response (written narrative here):**				
15.2-04	Define Sequence of Events in Data Entry Configure data entry screens sequentially to lead a user through data entry. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
15.2-05	Scheduling Trigger Prompt the user to schedule the next appropriate activity when an event is completed. **Vendor Response (written narrative here):**				

15.3 Change Work Roles of Judicial Officers, Clerks and Court Staff

Business Capability Description

Change work roles of judicial officers and court/ clerk staff as judicial officers and staff change assignments from time to time, and as judicial work styles evolve over time, allowing flexibility to accommodate judicial preference.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 15.3-01	Visual tools for Displaying and Configuring Roles in Workflows and Access Permissions **Vendor Response (written narrative here):**				
RD 15.3-02	Maintain Control Access and Privilege Authorizations at System Admin Level Configure access to screens, case information and tasks based on user work roles (e.g., limit access to confidential information to certain work roles, in a small court one person will have multiple roles while in a large court one person will have one role), and membership in role groups (e.g., shared work roles) **Vendor Response (written narrative here):**				
RD 15.3-03	Organizational Structure Definition Stored in the Database Configure work roles based on organizational structure (e.g., court type, location (county/city), branch, division, department, chambers, unit), to facilitate changes in work assignment **Vendor Response (written narrative here):**				
RD 15.3-04	Reassign Work Tasks Monitor when a person signs in and, if not, automatically reroute work to users with shared work roles or to a person with a “backup work role” assignment **Vendor Response (written narrative here):**				
RD 15.3-05	Hands-On or Staff-Assisted System Contact Enable judicial officers to choose whether to interact with the system hands-on, or through courtroom staff **Vendor Response (written narrative here):**				

15.4 Use the Case Status to Trigger Actions

Business Capability Description

Case managers (judicial officers, bailiffs, judicial assistants) track events in a case and the status of a case

and of its parties (i.e., special conditions about case/ person status) and use those events and statuses to determine what actions need to be performed or, more generally, the course that the case takes.

Events may originate externally or internally. Case status may be set manually or automatically by the application, and the application may automatically perform the specified action or inform the user of the event or case status. A case status-related event may result in alerts, ticklers, or notifications.

The case managers receive information about events in a case and the status of a case and of its parties via alerts, tickler and notifications, and take appropriate action.

Business Rules

BR 15.4-01 Case/ Person Statuses – Action Correlation Table

Court policy may specify the correlation of case statuses and party statuses with actions that must be taken when a certain state occurs. See **AC 15.4-11 Case Status Flags and Notifications**, **AC 15.4-12 Case Status Notification Actions** and **DN 15.4-04 Case/ Party Statuses – Action Correlation Table**.

Process Activities

PA 15.4-01 Courtroom - Case Status Notification Trigger

When a case is committed in the Courtroom Manager interface, create message records as follows:

1 Set the Message Contents to the Full Text ROA Item unless noted differently below.
2 When fines and/or costs have been ordered, send the message to the "Clerk".

3 When a Not Guilty plea has been entered on a charge, send the message to the "Prosecution".

4 When a Probation Term has been specified, the system shall:
    1. Send the message to the "Probation" department.
    2. Set the message contents to the specified Probation Term and Conditions (if specified).

5 When a Pre-Sentence Investigation has been specified, the system shall:
    1. Send the message to the "Probation" department.
    2. Set the message contents to "PSI Ordered " plus any specified PSI Notes.

6 When "Apply Bond" has been specified, send a message to the "Clerk" indicating "Judicial Officer releases bond for application to Fines & Costs".

7 When "Bail Release" has been specified and the Bail Type for the associated Bail record is "Cash", send a message to the "Clerk" indicating "Bail Refund".

8 When the "Alert" command has been specified, append the specified Alert text to the message contents.

PA 15.4-02 Close Case - Case Status Notification Trigger

When the Close Case command is issued and the Probation Flag was 'On,' send a message to "Probation" from "Courtroom" indicating:
    1. "Close Probation Case for Court Case "
    2. The case number for the case being processed

PA 15.4-03 Close Prosecution Case - Case Status Notification Trigger

When the Close Case command is issued in the Courtroom Manager interface, send a message to "Prosecution" from "Courtroom" indicating:
    1. "Close Prosecution Case for Court Case "

2. The case number for the case being processed

PA 15.4-04 Court Reporter Required Case Event Rule Trigger
When a court reporter is required for hearing a case, notify the court reporter coordinator.

PA 15.4-05 Interpreter Present - Case Status Notification Trigger
When the Interpreter Present command is used in the Courtroom Manager interface, send a message to "Court Administration" from "Courtroom" indicating "Interpreter Present".

PA 15.4-06 Interpreter Not Present - Case Status Notification Trigger
When the Interpreter Not Present command is used in the Courtroom Manager interface, send a message to " Court Administration " from "Courtroom" indicating "Interpreter Not Present".

PA 15.4-07 Interpreter Requested - Case Status Notification Trigger
When the Interpreter Requested command is used in the Courtroom Manager interface, send a message to " Court Administration " (interpreter supervisor) from "Courtroom" indicating "Interpreter Requested for " plus the language specified.

PA 15.4-08 Interpreter Added - Case Status Notification Trigger
When the Interpreter Added command is used in the Courtroom Manager interface, send a message to " Court Administration " from "Courtroom" indicating "Interpreter Added".

PA 15.4-09 Jury Trial Demanded or Waived
When a jury trial is demanded or waived, notify the attorneys/ parties of the new state.

PA 15.4-10 Notify Transcript Office Rule Trigger
When a Motion Type having Notify Transcript Office = True has been committed in the Motion Entry function, send a message to the "Transcript Clerk" indicating:

1. "Motion filed for "
2. The Motion Type(s) and associated Description(s)

PA 15.4-11 No Answer Case Status Rule Trigger
Generate notification to court when there is no answer to a complaint within a certain period that the defendant has defaulted.

PA 15.4-12 No Service on Witness Case Status Rule Trigger
Generate notification to prosecutor when there is no service on a witness within a certain period before the case goes to trial.

PA 15.4-13 Person Data Change Case Event Rule Trigger
Create a notification to attorneys/ parties when basic information (Dropdown: address) changes.

PA 15.4-14 Redacted Document Rule Trigger
Turns the “Redacted Document” flag on (see DN 4.6-1 Redacted/ Original Document Flag) when a filer indicates that a redacted document is being filed.

PA 15.4-15 Refer Case to Collections Case Status Rule Trigger
Refer account to collection when specified amount (or greater amount) on account receivable is remaining due for a specified period or on a specified date (may be batch operation).

PA 15.4-16 Restitution Paid in Full - Case Status Notification Trigger
When the Restitution Paid-in-Full processing has been executed in the Payment Entry function (see Restitution Paid in Full Trigger rule), send a message to "Probation" from the "Clerk" indicating:

1. "Restitution Paid-in-Full on Court Case"
2. The case number being processed.

PA 15.4-17 Fill a data field based upon the value of another data field
Fill a data field based upon the value of another data field (Dropdown: turn off “Self-Represented” flag when an attorney enters an appearance in a case

PA 15.4-18 Bankruptcy Stay Lifted Case Event Rule Trigger
When a stay is lifted, notify the clerk to schedule the appropriate hearing concerning resolution of the matter. See BR 5.2.5-1 Speedy Trial Clock.

PA 15.4-19 Bankruptcy Stay Proceedings Case Event Rule Trigger
When a stay is ordered in a case (i.e., pending the outcome of an action or proceeding outside of the court), notify the clerk to stay the execution of orders pending in the case. See BR 5.2.5-1 Speedy Trial Clock.

PA 15.4-20 Vacate Bail Judgment - Case Status Notification Trigger
When the Vacate Bail Judgment function is completed, send a message to "City Treasurer" and "Bonding Clerk" from "Marshall" indicating:

1. "Bail Judgment for "
2. Bail Agent Name for the Bail_Agent linked to the Bail Judgment
3. "has been vacated"

PA 15.4-21 Warrant Issued - Case Status Notification Trigger
When a Warrant is Issued, set the message contents to:

1. "Warrant Issued"
2. The Warrant Type
3. The Description of the Release Status
4. The Warrant Payable Amount
5. The Warrant Bail Amount

6A. If a Probation Case is linked to the court case associated with the Warrant, send the message contents to "Probation".
6B. If a Prosecution Case is linked to the court case associated with the Warrant, send the message contents to "Prosecution".
7. Add a minute entry to a case record (Dropdown: add “Warrant issued” when judicial officers signs a warrant).
8. Change the state of a case (Dropdown: “Outstanding Warrant” when warrant issued)

PA 15.4-22 Warrant Modification - Case Status Notification Trigger
When a Warrant is modified, set the message contents to "Warrant Modified”
For each data element that was modified, append the following to the message contents:

1. The data element label
2. The current data element value

3A. If a Probation Case is linked to the court case associated with the Warrant, send the message contents to "Probation".
3B. If a Prosecution Case is linked to the court case associated with the Warrant, send the message contents to "Prosecution".

PA 15.4-23 Warrant Cancelled - Case Status Notification Trigger
When the Warrant Status is set to "Cancelled" and a Probation case is linked to the court case associated with the warrant, send a message to "Probation" from "Warrant" indicating:

1. "Warrant Cancelled for "
2. The Warrant Type
3. "issued on" the Warrant Issue Date.

PA 15.4-24 Warrant Service - Case Status Notification Trigger
When a Warrant is served within the Enter Service Results function, set the message contents to:

1. "Warrant Served for "
2. The Warrant Type
3. "issued on" the Warrant Issue Date.

4A. If a Probation Case is linked to the court case associated with the Warrant, send the message contents to "Probation".

4B. If a Prosecution Case is linked to the court case associated with the Warrant, send the message contents to "Prosecution".

PA 15.4-25 Register of Actions Case Event Rule Trigger
Configure entry of Register of Actions codes to change case status - see case statuses in DN 15.4.2-1 Case Status Alerts , DN 15.4-2 Case Status Flags.

PA 15.4-26 Self-Represented Flag Case Event Rule Trigger
Fill a data field based upon the value of another data field (Dropdown: turn off “Self-Represented” flag when an attorney enters an appearance in a case

PA 15.4-27 Order Setting Hearing Case Event Rule Trigger
Add a document to the case record (Dropdown: add order setting hearing when order is signed)

PA 15.4-28 End of Appeal Period Case Event Rule Trigger
Add data to a case record (Dropdown: add end date of appeal period when judgment is entered)

PA 15.4-29 Appeal Alert Case Event Rule Trigger
Place alert on case that is being appealed (Dropdown: entry in Register of Actions of Notice of Appeal)

PA 15.4-30 Notification of Change in Basic Person Data Case Event Rule Trigger
Create a notification to attorneys/ parties when basic information (Dropdown: address) changes

PA 15.4-31 Jury Trial Demanded or Waived
When a jury trial is demanded or waived, notify the attorneys/ parties of the new state.

PA 15.4-32 Judicial Officer Recusal Case Event Rule Trigger
When a judicial officer is recused from a case, notify the attorneys/ parties of the new judicial officer assigned to the case.

PA 15.4-33 Trigger Document Production
Generate and print document(s) triggered by a specific event, event outcome, disposition, condition, or set of conditions (rule-based).

PA 15.4-34 Bond Insurance Company Ineligible - - Case Status Notification Trigger
When the Insurance Company specified in the Bail Entry function has "Ineligible to Underwrite Bonds" = True, send a message to "Bonding Clerk" indicating:

1. Insurance Company Name
2. "Ineligible to underwrite bond posted on Court Case"
3. The Court Case Number being processed.

PA 15.4-35 Bail Posted By Inactive Agent Case Status Notification Trigger
When a Bail record is committed which contains an Inactive Bail Agent, send a message to "Bonding Clerk" indicating:

1. "Bail posted by an Inactive Bail Agent "

2. The Bail Agent Name (First-Name Last-Name from BailAgent table for the Bail Agent referenced in the Bail record).
3. "on Case" the case number of the specified case

PA 15.4-36 Bail Release - Case Status Notification Trigger
When a Release Bail Action is performed and the Bail.Type = "Cash", send a message to "Violations Bureau" indicating:
1. "Bail Released on"
2. The Case Number of the case being processed.

PA 15.4-37 Court Case Expunged - Case Status Notification Trigger
When the Expunge Court Case function is completed, send a message to the CSPD Records & Id department indicating:
1. "Court information has been expunged for "
2. The defendant name
3. "for Case(s) "
4. The Case number(s) linked to the court case

PA 15.4-38 Court Case Merged - Case Status Notification Trigger
When the Case Merge process is completed, send a message to "Prosecution" indicating:
1. "Case Number(s) "
2. The case number(s) that were merged to the "Merged To Case"
3. "Have been merged to " the case number of the Court Case identified as the "Merged To Case"

END OF PROCESS ACTIVITIES

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 15.4-01	Format of Alerts 1. Display alerts at the top of the relevant screen display 2. On a person record or case record, display a flashing red alert or other form of alert with an appropriate message based on the case status. **Vendor Response (written narrative here):**				
RD 15.4-02	Format of Ticklers and Notifications 1. Party Name 2. Case Number 3. From Department 4. When the From Department is Courtroom: a. Courtroom or Session Identification b. Court Session Judicial Officer 5. Date Created 6. Time Created 7. Message Contents **Vendor Response (written narrative here):**				
RD 15.4-03	Display of Case/ Party Statuses – Action Correlation Table Display As of a given date, a display of case statuses and party statuses specified by court policy with actions related to the change of state **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 15.4-04	Person/Case Status Alerts and Notifications The following case/ person statuses activate an alert when the case or person record is displayed, prompting the user to perform or avoid some action: 1. Appeal 2. Bankruptcy Stay 3. Bond Company Ineligible 4. Collection Status (of Account) 5. Deferred Judgment/ Sentence 6. Diversion status 7. In custody 8. Interpreter Needed (see **DN 2.1-8 Interpreter Needed Flag**) 9. Juvenile (Age of Defendant) 10. NSF (Non-sufficient Funds) Check 11. Party deceased 12. Sealed/ Expunged Case (see **DN 11.2-1 Sealed/ Expunged Case Flag**) 13. Prone to violence 14. Self-Represented Litigant (SRL) 15. Supervision 16. Show Cause 17. Surety with Bond Judgment 18. Warrant Outstanding **Vendor Response (written narrative here):**				
RD 15.4-05	Display of Event Statuses – Action Correlation Table Display As of a given date, a display of event statuses and person statuses specified by facility policy with actions related to the change of status **Vendor Response (written narrative here):**				
AC 15.4-01	Enable the User to Create a New Notification (See **RD 15.4-02 Display of Alerts, Ticklers and Messages/ Notification**s) • Enter unlimited message text • Indicate the court case the message applies to. • Indicate the department(s) the message is to be sent to. • Verify the department against the master department list. If the department is not contained on the list, display an error message and the entry shall not be accepted. • Indicate the department from which the message originated. • Allow for additional data elements specific to the department the message is being routed to. Request a "return receipt" to be sent after the original message has been selected for viewing by the receiving department/person. **Vendor Response (written narrative here):**				
AC 15.4-02	Ad hoc Message Alert Alert a user or department with a screen message or email. Vendor Response (written narrative here):				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 15.4-03	General – Person/ Event Status Flag - Manual or Automatic Update Manually update a person/ event status flag where no event code triggers automatic update, or automatically update a status flag triggered by a business rule. **Vendor Response (written narrative here):**				
AC 15.4-05	Tickler - Show Event as Due Specified event is waiting in a certain status xxx days before due date. It is available for processing. Example: A schedule movement is due. **Vendor Response (written narrative here):**				
AC 15.4-07	Tickler - Determine Due Date and Escalation Parameter Determine milestones for each event as due date, escalate xxx days before due date, timeout nnn days before due date. Example: A scheduled reclassification is due. **Vendor Response (written narrative here):**				
AC 15.4-08	Tickler - Escalation of Ticklers Automatically notify a user's supervisors if a tickler is not responded to within a period set by parameter. See **Determine Due Date** and **Tickler Escalation Parameter** requirement. **Vendor Response (written narrative here):**				
AC 15.4-09	Tickler - Automatic Deletion of Ticklers Delete tickler automatically when the designated action is taken. **Vendor Response (written narrative here):**				
AC 15.4-10	Event-Based Case Status Updates Configure event codes to update case/ person statuses identified in **PA 15.4-01 Courtroom - Case Status Notification Trigger**. **Vendor Response (written narrative here):**				
AC 15.4-11	Case Status Flags and Related Notifications Transitions in the state (status) of the case and of the parties/ participants create an event used by the application: 1. Account in Collection Status 2. Active Party Status (see **DN 2.5-01 Active Party Status Flag**) 3. Alert User to Non-Public Record Generate alert when displaying cases or portions of cases that are not public record or otherwise require user notification (Dropdown: victim address) 4. Approaching Maximum Number of Events (normally permitted on schedule) 5. Attorney Conflict of Interest 6. Attorney Suspended 7. Bond Forfeiture Case (see **DN 8.4-2 Bond Forfeiture Flag**) 8. Case Expunged 9. Confidential Address Flag (see **DN 2.1-09 Confidential Address Flag**) 10. Contractor Suspended or Unavailable (See **DN 15.4-2 Contractor Suspended or Unavailable Flag**)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	11. Defendant Deceased 12. Defendant Serving in Military 13. Electronic Filing Party Case (indicating electronic service) (see **DN 2.1-07 Electronic Filing Party Case Flag**. 14. Failure to Appear on Defendant's Bond (see **DN 6.3-1 Failure to Appear on Defendant's Bond Flag**) 15. Failure to Appear on Surety Bond (see **DN 6.3-2 Failure to Appear on Surety Bond Flag**) 16. Inactive Bail Agent (see **DN 8.4-2 Inactive Bail Agent Flag**) 17. Indigent (see **DN 6.4 Indigent Status Flag**) 18. Interpreter Needed 19. Judicial Officer Recusal 20. Jury Demand Filed 21. Monetary Balance Owing 22. No Scheduled Next Event 23. No Service (on a witness based on configurable period before trial) 24. Non-Electronic Filing Party Case (see **DN 2.1-07 Electronic Filing Party Case Flag**) 25. NSF (Non-Sufficient Funds) Check 26. Petition to Revoke Filed (see **DN 16.6.2-1 Petition to Revoke Filed Flag**) 27. Potential Conflict Because of Unavailability 28. Redacted/ Original Document (see **DN 4.6-1 Redacted/ Original Document Flag**) 29. Restricted Participant (see **DN 2.1-08 Restricted Participant Flag**) 30. Self-Represented Case (SRL) (see **DN 2.4-4 Self Represented Case Flag**) 31. Self-Represented Litigant (SRL) (see **DN 2.4-2 Self Represented Litigant Flag**) 32. Speedy Trial Invoked 33. Speedy Trial Waived 34. Transcript Deadline for Appealed Case Passed 35. Uncollectible Account Flag (see **DN 7.6.1-1 Uncollectible Account Flag**)				
AC 15.4-12	Case Status Notification Actions Enable a user to take action based on the user's notification display for each department as defined within the Department Master table (see **DN 15.4-01 Department Master Table**): • Sort messages by Defendant Name by Case Number by reverse Date/Time Created • Display the elements in **RD 15.4-02 Display of Ticklers and Messages/ Notifications** • Enable a user to select a message for further processing • Enable a user to delete a message • Enable a user to forward the message to one or more departments • Enable a user to add a comment which will prefix the original message text. • Enable a user to print the message When the receiving Department is identified as having "Automatic Message Deletion", delete the specified message after the user has returned to the Message Display from their review/processing of the specified message				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 15.4-13	Automatic Deletion of Ticklers Delete tickler automatically when the designated action is taken. **Vendor Response (written narrative here):**				
AC 15.4-14	Implement Process Activities of This Business Capability The system is able to implement the Process Activities of this business capability. **Vendor Response (written narrative here):**				
AC 15.4-15	Notify Parties/ Participants **Vendor Response (written narrative here):**				
DN 15.4-01	Department Master Table This table contains the departments used during generation of messages/ notifications as “to” and “from” fields (e.g., Clerk, Court Administration, Court Reporter, Probation, Prosecution). **Vendor Response (written narrative here):**				
DN 15.4-02	Initial Values of Person/ Case-Level Status Flags At case initiation the default value of person-level and case-level status fields is ‘Off. **Vendor Response (written narrative here):**				
DN 15.4-03	Automatic Update of Person-Level and Case-Level Status Flags Person-level and case-level status flags are turned ‘On’ automatically when status changes, and ticklers are turned ‘On’ either automatically when an event occurs in a workflow or manually. **Vendor Response (written narrative here):**				
DN 15.4-04	Case/ Party Statuses – Action Correlation Table This table contains data for each case status and party status identified in **AC 15.4-11 Case Status Flags and Notifications**, and **AC 15.4-12 Case Status Notification Actions**, and a corresponding action related to each status. **Vendor Response (written narrative here):**				
DN 15.4-05	Tickler Escalation Parameter The number of hours parameter, after which a tickler that has not been responded to is escalated to a user’s supervisor. **Vendor Response (written narrative here):**				
DN 15.4-06	Case Inactivity Parameter The number of hours parameter, after which a tickler that has not been responded to is escalated to a user’s supervisor. **Vendor Response (written narrative here):**				

16 General High-Level Functional and Technical Requirements

This section describes some of the general and technical requirements that will be required of a Court/Clerk Case Management System (CMS). Additional requirements that apply across all functional areas are set forth in sections **15.2 Modify Work Procedures to Respond to Changed Events and Conditions** and **15.3 Use the Case Status to Trigger Actions**.

16.1 Technical Environment

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
16.1-01	1. The proposed solution is required to allow judicial officers and court/clerk staff to view, collect, store, analyze, share and safeguard case and person information in all courts in an efficient and cost-effective manner, because parties may have cases in more than one division at a time, and judicial officers and court/clerk staff need visibility to more than one at the same time. 2. The proposed solution must not allow limited or no access to juvenile court information to department staff outside the Juvenile Division. **Vendor Response (written narrative here):**				
16.1-02	The proposed solution must support separate configurations for each of the three divisions. **Vendor Response (written narrative here):**				
16.1-03	The proposed solution must support virtualization, and include a multi-tier architecture: 1. Front End: Web-based using standard browser 2. Middleware such as IIS or Tomcat -- Distributed where required 3. Database: Must be ODBC-compliant relational database **Vendor Response (written narrative here):**				
16.1-04	Describe the system architecture (e.g., browser, n-tier, thin client, etc.) of your application. Identify any particularly beneficial aspects of this architecture. Provide diagrams as needed. **Vendor Response (written narrative here):**				
16.1-05	The proposed solution's data tier must include transaction-level backup and restoration. **Vendor Response (written narrative here):**				
16.1-06	High Availability The Court/Clerk CMS is a round-the-clock system (7 x 24 x 365) that must have reliability and high availability. The system may operate in a reduced capacity should an issue such as hardware failure occur. In such a case, no data is lost or corrupted and the user can perform all system functionality, albeit with slower response times. Describe the uptime and availability which can be expected of this system. Identify any factors which will affect uptime. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
16.1-07	Describe how the proposed solution will be shown to meet benchmarks established for user testing and acceptance. These benchmarks will include items such as: • The number and types of defects that will be allowed for production, • Response time with a load of 500 concurrent users -- Describe the response time which can be expected of this system. Identify any factors which will affect response time. **Vendor Response (written narrative here):**				
16.1-08	Hardware to be used with the proposed solution must be scalable to fit current and future needs of the Court of Common Pleas, and the vendor must supply recommended, not minimal, hardware specifications. **Vendor Response (written narrative here):**				

16.2 Technical Support

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
16.2-01	Routine maintenance must not impact online availability or performance. Describe maintenance process **Vendor Response (written narrative here):**				
16.2-02	Provide a non-production training environment including the ability to periodically copy the production database to training database. Allow both production and training databases to be accessed simultaneously without cross linking or cross contamination. **Vendor Response (written narrative here):**				
16.2-03	Include a development database for testing of program changes. Allow both production and testing databases to be accessed simultaneously without cross linking or cross contamination. **Vendor Response (written narrative here):**				
16.2-04	Provide data-dictionary, ER diagrams, and user manuals for the system. The vendor must provide updated documents with each release/update. **Vendor Response (written narrative here):**				

16.3 Security and Audit

Req. #	Requirement	Response Code			Estimated Hours to Customize
16.3-01	Provide application-level audit trails that show which users and workstation addresses logged onto the system, when they logged on, and what part(s) of the				

Req. #	Requirement	Response Code			Estimated Hours to Customize
	system and database(s) they accessed (e.g., to detect unauthorized browsing) during a specified period; permit audit trails to be accessed, stored, archived, and purged. **Vendor Response (written narrative here):**				
16.3-02	Provide for the archiving and retrieval of all case records. **Vendor Response (written narrative here):**				
16.3-03	Describe document redaction capabilities included in the application. **Vendor Response (written narrative here):**				
16.3-04	The application must maintain a historical record of all changes made to the system's components. It must ensure that system error and events for software, hardware, interfaces, operating system, and network are written to a system event log accessible and searchable by a system administrator. The system administrator must be able to easily monitor the system status directly or remotely. **Vendor Response (written narrative here):**				

16.4 Configurability

Req. #	Requirement	Response Code			Estimated Hours to Customize
16.4-01	Configure searches appropriate to case type **Vendor Response (written narrative here):**				
16.4-02	Provide configurable workflows including the ability to modify a sequence of steps for capturing and presenting data within the application. **Vendor Response (written narrative here):**				
16.4-03	Provide an ad hoc report generation tool for users to prepare their own reports. **Vendor Response (written narrative here):**				
16.4-04	Able to add customized reports to be run at the user level. **Vendor Response (written narrative here):**				
16.4-05	Provide the functionality to configure business rules. **Vendor Response (written narrative here):**				
16.4-06	New Data Fields Enable configuring of the system by adding new data fields to any table without corrupting pre-existing records: a. Values for data fields b. Free text fields c. Formatted data fields d. Calculated fields				

Req. #	Requirement	Response Code			Estimated Hours to Customize
	Vendor Response (written narrative here):				
16.4-07	Provide a set of dashboard performance metrics (e.g., CourTool measures) that can be selected by individual users, according to their role in the organization. **Vendor Response (written narrative here):**				
16.4-08	Display only relevant/available code table values on data entry screens. For example, criminal codes will not be displayed when working on a civil case; pre-disposition codes will not be displayed when a case is in post-disposition status. **Vendor Response (written narrative here):**				
16.4-09	Enable configuring an unlimited number of case-types (including program types) and associate each case-type with the following (e.g., referrals to such programs as mediation, problem-solving court, counseling, classes): a) Code tables values b) Docket codes c) Event-types d) Document types generated e) Data fields f) Calendars **Vendor Response (written narrative here):**				

16.5 User Interface

Req. #	Requirement	Response Code			Estimated Hours to Customize
16.5-01	Provide keyboard input alternatives to any "point and click" operation. **Vendor Response (written narrative here):**				
16.5-02	Able to interrupt an entry in the middle of the transaction to perform another activity such as an online search to answer an inquiry and then resume the interrupted transaction. **Vendor Response (written narrative here):**				
16.5-03	Provide auto fill date/time entry fields but allow for manual date change. The solution must have the ability to display a calendar to select from to populate the date fields. **Vendor Response (written narrative here):**				
16.5-04	Provide an on-line help option based on process and should be context sensitive. This help function must be integrated and include screen-shots. **Vendor Response (written narrative here):**				
16.5-05	1. The proposed application must be easily managed through graphical user interfaces. The system must allow for secure remote administration as well as on-site administration. The administration functions must include at a minimum:				

Req. #	Requirement	Response Code			Estimated Hours to Customize
	• User account and password management, • System security management, • System log review and maintenance, • System reports, • Notification management, • Software threshold parameter management, and • System and database backup initiation. **Vendor Response (written narrative here):**				
16.5-06	Support the concept of individual and shared work queues which are lists of pending work items across multiple functions. This should be facility specific. A person with a specific responsibility in a facility should be able to view only the queue for their function. **Vendor Response (written narrative here):**				
16.5-07	Provide spelling and grammar check. **Vendor Response (written narrative here):**				
16.5-08	Information displayed in a table may be sorted or resorted by clicking on a column header title. The column will then alternate between an ascending and descending display with each mouse click. Only one column may show as sorted. Any additional columns selected will unselect any prior sort. **Vendor Response (written narrative here):**				
16.5-09	Dropdown List Selection Provide a limited set of data from which to choose. Select the list box with a left mouse click or the tab key. Select the data with a left mouse click or the up and down arrow keys. The user starts typing in the characters corresponding to the desired data value. The system will attempt to find a data value matching the character(s) that have been entered. If the value displayed matches the value desired, pressing the tab key selects that value and moves to the next field. Pressing the Delete key will clear the value that has been selected. **Vendor Response (written narrative here):**				
16.5-10	Auto fill date/time entry fields but allow for manual date change. **Vendor Response (written narrative here):**				
16.5-11	Display a calendar to select from to populate date fields. **Vendor Response (written narrative here):**				

16.6 Interfaces/ Data Exchanges

Req. #	Requirement	Response Code	Estimated Hours to Customize

Req. #	Requirement	Response Code			Estimated Hours to Customize
16-6.01	The proposed solution must support/accommodate the incorporation of specific, existing interfaces currently used by the court and clerk's office. The Vendor must review this attachment and describe how the Vendor's solution will support the continuity of these existing interfaces. **Vendor Response (written narrative here):**				
16-6.02	Support data exchange standards such as the National Information Exchange Model (NIEM) and a Service Oriented Architecture conforming to the Global Reference Architecture (GRA). **Vendor Response (written narrative here):**				
16-6.03	Support an interface to a document management solution that allows documents to be viewed based on a specific case number. **Vendor Response (written narrative here):**				
16-6.04	Provide for the integration with county email system. **Vendor Response (written narrative here):**				

Section C. Demonstration Scenarios Court and Judicial Case Management

1. General Functions – All Case Types

1.1 Search

1. Search person
2. Search case

1.2 View Case/ Reason for Hearing

1. Court case data
2. Party and attorney identification data
3. Criminal history information (for *criminal* offenders)

1.3 Relate/ Associate/ Consolidate Cases

1. Relate cases involving a single party (same defendant, for example) with multiple charges arising from one incident
2. Associate cases for co-defendants from the same incident.
3. Consolidate two or more cases into a single unified case (used for civil case types only).

1.4 Report Generation

1. Show standard reports available from the system.
2. Demonstrate the capability of producing ad hoc reports from the system.

1.5 Document Management

1. Demonstrate word search of key words and date range in documents. (Example – ruling by Judicial Officer X or concerning an issue, string of word)

2. Demonstrate redaction of Social Security Number on an electronic document.

1.6 Content Management

1. Display defendant record.
2. Display case record.
3. Subscription to person/ case updates (Probation and Compliance Unit)
    a. Court supervision defendant: Subscribe to defendant information updates. (Compliance Department)
    b. Subscribe to case-level information updates.
    c. Review screen showing all subscriptions to defendant record updates.
    d. Indicate subscription to updates to this case record.
    e. Review screen showing all subscriptions to case record updates.

2. Criminal Felony Cases

2.1 Judicial User Interface Configuration

Display the status of a case at a glance by looking at the docket (including number of days since filing), and navigate to various parts of it.

1. Alerts/ Special needs
    a. On medication
    b. Violation of bond
    a. Fitness concerns
    b. Registration required (Sex offender, violent offender)
    c. Interpreter needed
2. Custody status
3. Show Length of time in custody
4. Current attorney name
5. Bond and bond conditions
6. Charges
7. Assigned judicial officer
8. Track designation
9. All future court dates
10. Trial date
11. Case management date
    a. Pretrial date
    b. Motion dates
    c. Trial date
    d. Speedy trial deadline
12. Motions filed
13. Related cases and co-defendants
14. Date discovery ordered

2.2 Scheduling and Calendaring

1. Show expedited, standard and complex case tracks, and how to put a case on a track.
2. Set a limit of hearings of a certain type on a particular day, and allow override.
3. Demonstrate printed calendar formats available from any display.
4. Select a displayed calendar slot (trial call) on the online calendar view and drill-down the scheduled events for that slot. (The demo should have some data available for drilling down to the case level and across case types.)

5. Display codefendant on calendar and when codefendant is scheduled for court.
6. Display attorney schedule conflicts for a certain date.
7. Display other pending cases of the defendant.
8. When looking for an available date for a hearing, show the next available date for that type of hearing with the assigned judicial officer with a slot available.

2.3 Hearings/ Trials

1. Demonstrate tracking of continuances:
    d. Display at the case level the total number of continuances per attorney and party
    e. Data entry for docketing a continuance, including date, reason and the requesting party.
    f. Demonstrate appointment of conflict counsel, including generation of order signed electronically by the judicial officer, and electronic notification to the attorney.

3. Order of Protection Cases

3.1 Judicial User Interface Configuration

1. Display the status of an OP case at a glance (including number of days since filing), and navigate to various parts of it.
2. Other cases of all types, open and closed, and judicial officer assigned

4. Juvenile Cases

4.1 Judicial User Interface Configuration

1. Configure security levels
    a. Assign staff and parents to juvenile case security level
    b. Case caption using initials for public exposure
2. Other information
    a. Conflict attorney dates available (set one year in advance)
    b. Interpreter needed and type
    c. Who warrant is returnable to (ODJFS, detention)
3. Case summary screen – display the status of a case at a glance by looking at the docket, navigating to various aspects of it.
    a. Delinquency (JD)
        Address, DOB/age, parent's or guardian's name and addresses
        Agency present
        Charge – original, pled-to charge,
        Date of plea, date of sentencing, termination date
        Adult cases associated
        Linked cases (with their own dates)
        Custody type and status, most recent remand date
        When 21st birthday will be
    b. Dependency, Neglect and Abuse (Child Protection JA)
        i. Address, DOB/age, parent's or guardian's name and addresses
        ii. Link to paternity and family cases
        iii. Paternity established by child
        iv. Married when child was born
        v. Show docket entries in the case – sort by date, sort by type, by party involved
        vi. Did parents have prior JA cases?
        vii. Date/ time when taken into protective custody
        viii. Custody type and status, most recent remand date
        ix. Agency involved (contract agency)

x. Status of parents' cases – criminal, order of protection
xi. Attorney of record, CASA, PD/ GAL, parental attorneys
xii. Transfer county/ state
xiii. Pull up the last order in the case
xiv. List pending motions – indicator of pending motions, and responses/ replies to motions
xv. What is the next hearing date?
xvi. Service of summons date
xvii. Deadlines based on service? Pull it up latest one.
xviii. Is timeline waived?

4.2 Initiate Child Protection Case – Temporary Custody Hearing

(Assume hearing to be held within 48 hours after emergency removal of child from home by ODJFS)

1. Enter the allegations and the following participants in separate cases, and link the cases:
    a. Two children's names and demographics
    b. Mother name and demographics
    c. Father's name of child #1 and demographics
    d. Father's name of child #2 and demographics
    e. Assistant Prosecutor
    f. ODJFS Attorney
    g. Caseworker
2. State or GAL draft order finding probable cause with findings, giving temporary custody to ODJFS, removing the children from the home and placing them in foster care, appointing Guardians Ad Litem – e-filed, reviewed by judicial officer, Make minute entry for protective custody hearing.
3. Set ex parte date/ time for hearing on calendar 10 days after order issued, (state sends) notice of hearing to parent, set service date with copy of petition and summons

4.3 Adjudicatory Hearing in Child Protection Case

(Assume set at least 90 days after Temporary Custody Hearing)

1. Add the following participants
    a. Mother's attorney
    b. Father's attorney
    c. Guardian Ad Litem (GAL) for child #1
    d. Guardian Ad Litem (GAL) for child #2
    e. Court Appointed Special Advocate (CASA)
    f. Interpreter
2. Issue subpoenas requested by attorneys.
3. Attorney Generate order finding of abuse of child #1 and neglect of child #2, e-file
4. Make minute entry finding that child #1 is abused and child #2 is neglected.
5. Set date/time for dispositional hearing 30 days out.
6. Generate notice of hearing to participants.

4.4 Juvenile Delinquency Plea at Adjudicatory Hearing

24. At sentencing hearing, approve sentencing order with conditions:
    Refrain from violating any local, state, or federal laws, including curfew violations, traffic violations, and using alcohol or drugs
    Possess or discharge a firearm
    Not leave Illinois without permission of the court or the probation officer
    Attend school, abide by curfew
    Attend all scheduled visits with probation officer
    Counseling for drug and alcohol abuse, mental health
    Restitution ($200)
    Community service (40 hours)

Home confinement
Paying a probation fee ($15 per month)
Submit a DNA cheek swab sample

25. Order Probation to conduct social investigation
26. Set tickler for six months out to monitor status
27. Set tickler for termination date or 21st birth

5. Domestic Relations Cases

5.1 Judicial User Interface Configuration

1. Case summary screen – display the status of a case at a glance by looking at the docket, navigating to various aspects of it.
    a. Show docket entries in the case – sort by date, sort by type, by party involved
    b. Pull up the last order in the case
    c. List pending motions – indicator of pending motions, and responses/ replies to motions
    d. What is the next trial date?
    e. Has case management order been entered? Pull it up latest one.
    f. Search for most recent version of petition for dissolution of marriage or to establish parent-child relationship.
    g. Attorney history on the case
    h. Check parenting class certificate
    i. Parenting order entered
    j. Service of summons date
2. Associate cases that are not consolidated but are connected to the same respondent or children – only judicial officer and court administrative staff have access to view linked cases like juvenile or order of protection.

5.2 Initial Case Management Conference

(After the parties are at issue between 35 and 182 days after filing of the complaint)

1. Generate case management call conference dates, scheduling case management events, working backward from the presumed trial date. A simplified set of dates is as follows:
    a. Any and all Cross, Counter and Third-Party complaints– one month after case management conference
    b. Plaintiff(s) - all Rule 213 (f) information– two months after case management conference
    c. Defendant(s) - all Rule 213 (f) information – three months after case management conference
    d. Cross-Defendants, Counter Defendants and Third-Party Defendants all Rule 213 (f) information – four months after case management conference
    e. Plaintiff(s) - all rebuttal witness information under Rule 213 (f) – five months after case management conference
    f. All discovery shall be completed – 5½ months after case management conference
    g. All motions for involuntary dismissal or summary judgment – six months after case management conference
    h. Trial date – the reference point
2. Assign a case to complex track, enter appropriate data
3. Refer for mediation and select a mediator from the court-approved list, allocating 3/5 of cost to husband and 2/5 to wife
4. Schedule next court event

5.3 Scheduling and Calendaring

1. Demonstrate printed calendar formats available.

2. Select a displayed calendar slot on the online calendar view for greater detail about the scheduled events for that slot. The demo should have some data available for drilling down to the case level and across case types.
3. Display father of child #1 and father of child #2 on calendar and when each is scheduled for court.
4. Display attorney schedule conflicts.
5. Display other pending cases of the father of child #1.
6. When looking for an available date for a hearing, show the next available date for that type of hearing with a slot available.
7. Assign a backup judicial officer to replace a judicial officer on a calendar slot.
8. Schedule cases in mass (e.g., cases set on a particular day all need to be rescheduled due to an extended trial).

5.4 Family Mediation Program

1. Judicial Officer selects a mediator from a list of mediators.
2. Mediator enters successful outcome of mediation, and attaches image of signed written agreement.
3. Judicial Officer reviews agreement and enters order.

6 Civil Cases

6.1 Judicial User Interface Configuration

1. Case summary screen – display the status of a case at a glance by looking at the docket, navigating to various aspects of it.
    a. Show docket entries in the case – sort by date, sort by type, by party involved
    b. Pull up the last order in the case
    c. List pending motions – indicator of pending motions, and responses/ replies to motions
    d. What is the next trial date?
    e. What is the age of the case? (not counting exempt time under standards, e.g., civil respondent files bankruptcy).
    f. Has scheduling order been entered? Pull it up latest one.
    g. Search for most recent version of complaint
    h. Attorney history on the case
    i. How many summons on the same party
2. Select and navigate through documents filed in the case
3. Demonstrate tracking of continuances:
    a. Display at the case level the total number of continuances per attorney and party
    b. Data entry for docketing a continuance, including date, reason and the requesting party.
    c. Demonstrate appointment of conflict counsel, including generation of order signed electronically by the judicial officer, and electronic notification to the attorney.
4. Demonstrate document generation capabilities, populating information from the database into user-maintainable word processing templates. Show how these can be produced in batch mode and on demand.
5. Refer a case to mediation
6. Search for other cases of a party
7. Generically link/ relate/ consolidate two related cases.
8. Enter private judicial officer notes

6.2 Scheduling and Calendaring

1. Demonstrate the variety of printed calendar formats available (static display or screen shots OK)
2. Select a displayed time slot/session on the online calendar view for drill-down about the scheduled events for that session. (Have some data available for drilling down to the case level and across case types.)
3. When scheduling a case, see next available date on the calendar (may have to match criteria given, like contested hearing for Judicial Officer X)

4. Suspend time counting for calculating compliance with time standards - Change status of case regarding bankruptcy status

7 Problem-Solving Courts – Drug

7.1 Case Initiation

Each Problem-Solving Court represents a different case type

1. Admission/Intake after Petition by defendant and approval by prosecutor
    a. Add/download person and criminal case information for defendant
    b. Scan and attach the results of screenings and assessments, including history of drug use, risk factors, criminal history, health and mental health factors, impairments or disabilities, family factors, living environment, employment, education, and financial resources.
    c. Record acceptance or rejection of the individual, reason for rejection, if he or she refused to participate, etc., and track releases executed by participants.
2. Enter Problem-Solving Court events in the confidential log of events using the following kinds of data:
    a. Add Problem-Solving Court coordinator, case worker, attorney name, probation officer and other participants
    b. Add status of case, e.g. Initiated, Active, Inactive, Closed, Interpreter, Drug Court, Mental Health Court, Veterans Court. Phases/ tracks, and phases of tracks
    c. Schedule staff conferences and hearing dates (weekly or monthly).
    d. Case Planning – Maintain treatment plans, supervision case plans, conditions of participation, etc.

7.2 Docketing

In a confidential log of supervision events, with restricted security access

1. Track Compliance and Treatment
    a. Compliance with conditions (e.g., payment of fines and costs, employment), and participation in counseling sessions and programs, and restrictions imposed on the individual,
    b. Completions on referrals for services and programs (e.g., counseling, treatment, education, employment, phases).
    c. Track payment of court and treatment obligations.
2. Monitor Substance Abuse Testing (Drug Court)
    a. Establish a daily drug testing schedule
    b. Track substance abuse testing (e.g., drug, alcohol) and results of those tests, and produce drug testing reports.
3. Case Management
    a. Track supervision contacts, including home, school, and employment visits by probation officers; and all case manager and third party contacts.
    b. Track progress through phases and tracks
    c. Upload reports from service providers
    d. Track incentives and sanctions, record program violations and phase changes, and track progress in therapy educational or vocational programs, community service, appointments, units of service, supervision contacts, and community support programs.
4. Program Exit
    a. Team panel to review graduation.
    b. Capture graduation and termination data, including program exit questionnaires, reasons if fail.

7.3 Scheduling and Calendaring

1. Demonstrate the variety of printed calendar formats available.
2. Select a displayed time slot/session on the online calendar view for greater detail about the scheduled events for that session. Have some data available for drilling down to the case level and across case types.
3. Proposed phase change dates, graduation ceremony.

7.4 Reports

1. Track recidivism and other indicators of the impact of the program (e.g., complex report)
2. Show standard reports available from the system.
3. Demonstrate the capability of producing ad hoc reports from the system.

7.5 Configuration

1. Configure specialty treatment court cases to restrict security access.
2. Tracks and phases

Section D. Demonstration Scenarios for Courtroom Management

1. Juvenile Adjudicatory Hearing in Child Protection Case (one child per case)

1. Take attendance (take attendance once for all related cases) – parties and non-litigants
    a. Mother's attorney
    b. Father's attorney
    c. Guardian Ad Litem (GAL) for child #1
    d. Guardian Ad Litem (GAL) for child #2
    e. Court Appointed Special Advocate (CASA)
    f. ODJFS representative
    g. Agencies
    h. Intervening foster parents
    i. Interpreter
    j. Court reporter
2. Make minute entry
    a. Finding that child #1 is abused and child #2 is neglected.
    b. The children become wards of the state
    c. ODJFS is appointed guardian
    d. Set date/time for future hearing 30 days out.

2. Domestic Relations Motion

1. Judicial Officer refers for mediation and selects a mediator from the court-approved list
    a. Schedule next court event (check status of mediation)
2. Appoint GAL and child representative

3. Domestic Relations Initial Case Management Conference

(After the parties are at issue and in no event more than 182 days following the filing of the complaint)

1. Make minute entry of attendance
2. Judicial Officer assigns to complex track, clerk enter appropriate dates
3. Clerk makes minute entry of court actions

4. Domestic Relations Scheduling and Calendaring

The demo should have some data available for drilling down to the case level and across case types.

1. Demonstrate printed calendar formats available.
2. Select a displayed calendar slot on the online calendar view for greater detail about the scheduled events for that slot.
3. Display OP cases of the father of child #1.
4. Display attorney schedule conflicts.
5. When looking for an available date for a hearing, show the next available date for that type of hearing with a slot available.

5. Mass Case/ Batch Operations

1. Reassign several cases with the same court event setting from one judicial officer to another.
2. Mass reassignment based on shift from one case type to another.
3. Display cases subject to a flagged condition of a certain kind which occurred or failed to occur on a specific date or date range (e.g., failure to appear), and issue warrants on them.

Section E. Demonstration Scenarios for Clerk Counter

1. Prepare Civil Case Filing Using Internet-Based Form Creation Process

Assume that the filer has e-filed the document online and paid the fee online. The system time-stamps (endorses) the filing, acknowledges receipt, and AUTOMATICALLY SAVES THE DATA IN THE CASE as tentatively accepted, with docket entry (assume fee or no fee). This scenario finds the filing in a queue ready for clerk review.

1. Clerk reviews and makes acceptance/rejection decision
2. Alternative: Notify filer of reasons if rejected, with minute entry -- can reject only if not specify case type or more than one case type
3. Clerk adds new party information
4. Step (#3) repeat for each party added
5. Initiate case - assign case number, make entry in docket (data already entered)
6. Issue summons and make docket entry

2. Prepare Civil Case Filing Using Uploaded Case Document with Fee Waiver

Assume that the filer has e-filed the document online and paid the fee online. The system time-stamps (endorses) the filing, acknowledges receipt, and saves it as tentatively accepted, with docket entry (assume fee or no fee). This scenario finds the filing in a queue ready for clerk review.

1. Clerk reviews and makes acceptance/rejection decision
2. Alternative: Notify filer of reasons if rejected, with minute entry
3. Search master name index for possible matches
4. Clerk selects suggested information, or else accepts/adds new party information
5. Obtain and record fee payment, with docket entry

6. Alternative: Request for fee waiver: plaintiff personally presents to judicial officer
    a. Judicial Officer reviews proposed order and signs it electronically or returns it with instructions, generating minute entry
7. Clerk initiates case - assign case number, enter data from document image
8. Save documents and data in case with docket entry
9. Generate new /route uploaded service documents to sheriff for service, with docket entry

3. E-filed Proposed Order

The filer has e-filed a proposed order to a judicial officer's queue for review, and the system generates a docket entry. The judicial officer reviews the proposed order and signs it electronically or returns it with instructions, and it goes to clerk's review queue.

1. Configuration option: Signed orders bypass clerk review and are saved without clerk review.
2. Clerk reviews signed order and (if nothing to bring to judicial officer's attention) saves documents in case with docket entry.

4. Initiate Delinquency Petition (assume paper process)

1. Enter the alleged offense and the juvenile's demographics
2. Link the new case with another active case
3. Enter date/time of detention hearing
4. Enter name of Assistant Prosecutor and Public Defender, probation officer, parents or guardian
5. Generate notice of hearing to participants with date.

5. Civil Docketing and Document Generation

1. Docket a responsive pleading, and associate/index an electronic document to a docket entry in a case, then display the document from the docket entry.
2. Associate response and reply to a particular motion
3. Add additional data to the civil case.
    a. Add additional defendant.
    b. Add a third-party complainant or intervening petitioner
    c. Add counterclaim in excess of $50,001 as the amount of relief sought.
    d. Add an attorney name for the defendant.
    e. Set future hearing date and warn clerk if attorney has 30 cases in a small claims session
4. Set a trial date
5. Designate case's trial track (pretrial management conference) and populate dates
6. Search for other cases of a party using parameters
7. Seal a document within a case settlement agreement

6. Records Management

1. Select cases involving a single party for linking as related cases.
2. Select cases involving co-defendants from the same offense or incident for linking as associated cases.

3. Select cases involving the same parties and issues, unifying them into a single action as consolidated cases.
4. Update initial and subsequent entries to be applied to each case, defendant, party, or participant in the linked relationship, with a single entry.
5. Display audit trail of demo activity, including field-level and all other kinds of configuration settings available
6. Seal a case
7. Unseal the case
8. Seal a document in a case
9. Expunge a case – cannot acknowledge that it exists
10. Impound the case (after adjudication) adoption, mental health – acknowledge it exists

Section F. Demonstration Scenarios for Clerk Financial

1. Assess Costs

1. Maintain standard tables for court costs and fees. Include dates active and inactive for cost and fee schedules.
2. Compute and display costs and fees based on occurrence of a specific event (e.g., initial filing, motion filing).Upon submitting a filing in a case – appearance fee.
3. Identify existence of fee waivers or deferrals, display message (e.g., indigent, governmental waiver), process appropriately (e.g., case filed but waiver deferred pending judicial review).
4. Assess costs upon disposing of a criminal case.
5. Reduce the cost on a case per court order.
6. Credit for time served: Record credit for time served or community service, and reduce the cost balance due

2. Receipt Accounting

1. Permit individual cashiers to open and close as needed (e.g., when several cashiers work different shifts at same register during same day).
2. Receipt case-related payment:
    a. Select a defendant using name or case number.
    b. Enter receipt payment by check #1234 received by mail, and supporting data –
        i. Transfer funds (including bond money) from one case to another case or to multiple cases
        ii. Application of money paid, to what accounts, subaccounts, based on business rules
        iii. arresting agency
        iv. type of payment (list of values: cash, check, money order, Western Union, credit card)
        v. payee name

vi. cashier identifier
vii. amount tendered
viii. payment amount
ix. change given
x. time of payment
xi. location (list of values: mail, main courthouse, branch court, drop box.

c. Generate a receipt, displaying a print preview of the receipt including application of payment, and

d. Show accounting entries generated as a result of payment (Paid in full, Case disposed).

3. Receipt non-case-related payment (e.g., document copies, license, passport, court seal, record search, enhanced public access subscription)
4. Recurring billing (subscription)
5. Accept electronic funds transfer (ACH) payments
6. Reprint receipts (e.g., if printer malfunctions during printout) with same receipt numbers)
7. Suspend cashier operations (e.g., close without balancing to permit lunch and other breaks).
8. Online/IVR payment/kiosk
    a. Show how a defendant would look up his or her traffic case and pay the fine by credit card without coming to court.
    b. Credit card chargeback: Record a credit card transaction that is returned due to a deposit error or cardholder dispute, which results in a debit to the depository bank account
    c. Credit card refund: Enter a refund for a previous credit card transaction, due to court order or user error
9. Bulk payment allocation: Accept a single payment for multiple cases or accounts, checking that the numbers balance with application of funds before completing the transaction and are posted to appropriate accounts.
10. Demonstrate the cashier batch closeout process, and prepare deposit information to accompany deposit receipts.
11. Allow supervisor to make adjusting entry to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, e-payment, money orders) with proper security provisions.
12. Show daily and monthly balancing processes with summary reports for each cash drawer, cash register, and cashier.
13. Show system wide daily cash receipts journal and post cash receipts transactions to general ledger.
14. Handle exceptions:
    a. Demonstrate adjustment transactions for NSF checks, over-rings, voids, refunds, cash overages and shortages
    b. Correct a receipt in order to prepare deposit – payee is wrong or payment type is wrong
15. Pre-Pay (Draw-down trust) Accounts

a. Warning when reach a certain configurable level

b. Listing of subaccounts by firm of funds put into the account

16. Display or print detailed and summary lists of financial transactions (e.g., receipts, disbursements, court cost assessments, fee assessments, monetary judgments, voided transactions, indigent fee cost waivers listed by type or chronologically) for specific cases and parties over specific periods (e.g., daily, monthly, for life of case).

    a. Daily cash reports

    b. Cash receipt register for each bank account

    c. Cash summary sheet (distribute fund allocations)

    d. Statement of revenue report

    e. Subsidiary ledger accounts report

3. Bookkeeping Accounting

1. Show how revenue distribution rules can be maintained and updated by supervisors in the financial area – configuration maintenance.
2. Display a defendant's account summary that showing obligations across multiple cases, with disbursement accounts. – move to payment receipt section
3. Demonstrate daily and monthly balancing processes.
4. Demonstrate issuing a voucher to disburse monies to the state
5. Generate checks to municipalities and other obligations.
6. Reconciliation – cases, bonds, restitution
7. Reports:

    a. Voucher register

    b. Checks

    c. Cash disbursements register

    d. 1099 forms (if paid $600 or more during the tax year to a person) –

4. Cash Disbursements, and Unclaimed Funds

1. Prepare checks for pass-through payments (conduit accounts, like some child support).
2. Create, change and delete accounts for services rendered (interpreters, private attorneys, and other court contractors) – move to court administration
3. Track payments to payee Tax ID, W-9 PDF on file.
4. Process payment transactions on account.
5. Consolidate transactions by vendor.
6. Perform bank reconciliation (revenue and trust accounts.
7. Prepare and process payments to court-appointed counsel and other court contractors. – court administration only

8. Handle mailed check returned or no address.
9. Identify and turn over unclaimed funds to the state or county treasurer after the statutory period.

5. General Ledger

1. Create, change and delete records from a chart of accounts
2. Post to general ledger accounts
3. Run periodic closure routines
4. Post recurring journal entries
5. Prepare trial balance
6. Prepare appropriated funds balance sheet
7. Reports:
    a. Show standard financial management reports for general ledger
    b. Maintain a history of all G/L entries and produce detailed transaction reports provide an appropriate audit trail

6. External Debt Collection – Attorney General

1. Generate a list of cases delinquent for referral to Attorney General (i.e., case status has been CM closed money owed, CJ closed judgment entered for at least 30 days, and $100 or more is owed).
2. Review collection batch, remove some individual cases, and submit the batch with assessment fee for collection.
3. Query debt collection payment batch to or from Lake County, by date, date range, status or waiting to process.
4. Send payment collected at Clerk's Office to collection agent.
5. Select and recall a number of cases from the collection firm (removing assessment).
6. Review batch of debt collection payments to or from Lake County, and apply payments to cases.
7. Query debt collection cases by case number or name.
8. Reconciliation

7. Trust Fund Accounting (Bonds, Restitution, Pass-Through Payments)

1. Establish, maintain, and track various types of bank accounts (e.g., interest bearing, non-interest bearing, pass-through, funds held short term by clerk).
2. Post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts); associate accruals with proper bank account.
3. Maintain trust fund. Post trust fund transactions to a case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures (move to receipting area).
4. Process pass-through payment transactions
    a. Demonstrate child support transaction.
    b. Demonstrate taking restitution on an account.

   c. Demonstrate taking payment when co-defendants are jointly and severally liable for payment (applies to traffic, felony, misdemeanor and juvenile cases). Defendants MAY or MAY NOT be associated with the same case number..

5. Enter additional information based on the purpose of a payment in trust (e.g., if money paid is for bail, then the name of who posted the bail)
6. Demonstrate actions taken on bail accounts, including options to exonerate, forfeit, refund, transfer, apply funds to fines/costs – move some to receipting area.
7. Transfer funds (including bond money) from one case to another case or to multiple cases.
8. Take a bond, showing payee name and address, so can do refund or transfer to attorney
9. Show bond information (all bonds) for a defendant and for a defendant's case – move to receipting.
10. Put a hold on bond money and not allow it to be automatically or manually applied to case(s) without order of the court. (not available until sentencing)
11. Balance the trust account.
12. .Maintain trust fund (i.e., moneys held in trust that may be disbursed upon court order or for services rendered) accounting (e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures).

8. Service of Process and Sheriff Sales

1. Enter a request for service of court papers
   a. Use data from an existing court case to populate the service request
   b. Enter the address for service, the type of service, and assign the service request to a deputy
   c. Generate a unique Sheriff Service ID Number for the service request
   d. Enter deposit for service, including payment type, check number/ authorization code, print receipt
2. Enter return of service information
   a. Enter service results, date/time, deputy who served, and mileage
   b. Total the amount of service costs
   c. Total the amount of payments and show balance of service costs due
   d. Enter the return of service on the court register of actions, including date, type of service and cost
3. Reports of service requests
   a. Display all unserved service requests
   b. Display workload by deputy of unserved service requests
4. Set up a Sheriff Sale
   a. Use data from an existing court case to populate the sheriff sale, including judgment amount
   b. Enter the sale type, foreclosure type, buyer name and address, address of the property, and deposit received
   c. Generate a unique Sheriff Sale ID Number
   d. Appoint appraisers

   e. Schedule the sheriff sale

5. Finalize a Sheriff Sale
   a. Receipt funds paid in trust for the property
   b. Enter costs of the sale, payments and balance of cost due
   c. Enter data to generate sheriff's deed

Section G. Current Interfaces

Clerk of Court – CMS Imports or Exports Data
Ohio Supreme Court – export statistics
Ohio Attorney General – export overdue collections
NORIS – Northern Ohio Regional Information System – export warrants
Lucas County Child Support Enforcement Agency – import child support cases (1 table, 24 fields)
Ohio Youth Assessment Services (OYAS) – import assessment results
Drug testing interface with Probation Monitor (Loryx Systems). WinTox (Testing software) sends a CSV file to the web server at NORIS (Via FTP). Monitor picks it up and loads the test matching on the RID number. If there is no match, the results are discarded.
Sheriff Civil Branch (ProWare custom module) – exports case data for sheriff's sale

APPENDIX 1: CURRENT CRIMINAL CASE INFORMATION FORM (CCIF)

The following pages are examples of the Current Criminal Case Information Form (CCIF) which bailiffs use in the courtroom to capture the results of a criminal case hearing in General Division. The bailiff marks the form and later enters the data in a formal way for the judge to sign as a journal entry. Currently the "General CCIF" is a four-part NCR form with copies distributed to the defendant and other participants, like the Sheriff's copy which tells the jail of the court's order, which will be forthcoming, to release or keep a defendant in custody.

1. "General CCIF" (page 1 of the Appendix) - used for non-sentencing events
2. Charge Disposition Information Form 1 (page 2 of the Appendix) - Bailiffs add this to the CCIF form when there is a plea/guilty finding/direct sentence
3. Charge Disposition Information Form 2 (page 3 of the Appendix) - Bailiffs add this to the CCIF form when there is a sentence to a PREVIOUS guilty finding.

The purpose for including these forms is not to encourage duplication of them in the CMS, but to indicate the kinds of information that need to captured and put into usable form quickly.

[ ] Def in Custody _____
[ ] Def Remanded into Custody:
[ ] Book Original [ ] & Fingerprint

LUCAS COUNTY COMMON PLEAS CRT GEN TRIAL DIV
CRIM CASE INFO FRM (GENERAL)

[ ] multi-pg [ ] See Dispo Pg
[ ] disregard all
[ ] disregard previous

Defendant: _____
AKA: _____
Def Present: [ ] Yes [ ] No [ ]FTA/Capias
Attorney: _____
[ ] Ret [ ] Appt [ ] Change / Present: [ ] Yes [ ] No
Prosecutor: _____

Case Number: _____
Charge/Degree: _____

Event: [ ] _____ [ ] Other: _____ [ ] Remittal Signed [ ] Remittal Not Signed
Continued to: _____ @ _____ am/pm at request of _____ for _____
Continued to: _____ @ _____ am/pm at request of _____ for _____
Continued to: _____ @ _____ am/pm at request of _____ for _____
Trial date of _____ vacated @ request of _____ [ ] Time waived [ ] Oral [ ] Written

REFERRAL:
CDTC: [ ] NGRI 2945.371(G)(4) (Pre NGRI) [ ] Competency 2945.371(G)(3) [ ] Interv in Lieu 2951.041
[ ] NGRI 2945.40 (Post NGRI) [ ] PSI 2951.03 [ ] General Psych
SCREEN FOR: [ ] Diversion Program [ ] CTF [ ] WR [ ] EM [ ] Other: _____

BOND: [ ] Updated Bond Report Requested
Amount: _____ [ ] @10% [ ] No 10%
[ ] Set [ ] Reset [ ]Cont [ ] Rewritten [ ] Transferred [ ] Revoked [ ] Bond Reinstated [ ] Forfeited [ ] Bd Forf Proceedings
Count 1 _____ Count 2 _____ Count 3 _____ Count 4 _____ Count 5 _____
Additional Info: _____
BOND conditions: [ ] Breathalyzer _____ [ ] Electronic Monitoring [ ] No direct/indirect Victim contact _____
[ ]No Drugs/ Alcohol/ RX med not law prescribed to Def [ ] Urinalysis/Drug Testing _____ [ ] DNA [ ] WR

FUGITIVE WARRANT:
[ ] Waived Extradition/ State of _____ granted _____ days to obtain Defendant
[ ] Waived Extradition/ Released/ Turn in to demanding State by _____
Other: _____

CONVICTION: [ ] Plea of Guilty/ [ ] Lesser [ ] No Contest Plea/ [ ] Lesser [ ] Alford [ ] Trial by Jury [ ] Court Trial

Investigation Type: [ ] Presentence [ ] Expunge [ ] Diversion [ ] Sealing [ ] CQE [ ] Other _____
[ ] Currently under Court Supervision to Judge _____ Case No. _____

[ ] PSI REFERRAL (Pretrial-Presentence) **[ ] PV/CCV (Adult Probation)**

DEFENDANT ORDERED TO: _____

Date: _____ Judge: _____ (For Judge by Criminal Bailiff)

[ ] Def in Custody _____
[ ] Def Remanded into Custody:
[ ] Book Original [ ] & Fingerprint

LUCAS COUNTY COMMON PLEAS COURT GEN TRIAL DIV
CRIM CASE INFO FRM (PDR/CCV/JUD RELEASE/OTHER)

[ ] multi-pg [ ] See Dispo Pg
[ ] disregard all
[ ] disregard previous

Defendant: _____ Case Number: _____
AKA: _____ Charge/Degree:
Def Present: [ ] Yes [ ] No [ ] FTA/Capias
Attorney: _____
[ ] Ret [ ] Appt [ ] Change / Present: [ ] Yes [ ] No
Prosecutor: _____

Event: [x] _____ [ ] WR Viol [ ] CTF Viol [ ] Other: _____
[ ] Admit[ ] Prev Admit [ ] Mitigation [ ] Disposition [ ] Compliance [ ] Revoked [ ] LCAPD to submit updated report

Continued to: _____ @ _____ am/pm at request of _____ for _____

BOND: Amount _____ [ ] @ 10% [ ] No 10% [ ] Set [ ] Reset [ ] Continued
[ ] Transferred [ ] Revoked [ ] Forfeited [ ] Bond forfeiture proceedings [ ] Bond reinstated
BOND Conditions: [ ] Breathalyzer _____ [ ] Electronic Monitoring [ ] No direct/indirect Victim contact _____
[ ]No Drugs/ Alcohol/ RX med not law prescribed to Def [ ] Urinalysis/Drug Testing _____ [ ] DNA [ ] WR

CONVICTION: [ ] Guilty Plea/ [ ] Lesser [ ] No Contest/ [ ] Lesser [ ] Alford [ ] Jury Trial [ ] Court Trial on _____
INSTITUTION: [ ] CCNO [ ] LCCC [ ] Marysville [ ] NWOPH [ ] ODRC [ ] TBMFU (Twin Valley) [ ] Other _____

Charge:	Sentence:	Mandatory:	PRC
_____	_____	_____	[ ] M [ ] D_____
_____	_____	_____	[ ] M [ ] D_____
_____	_____	_____	[ ] M [ ] D_____
_____	_____	_____	[ ] M [ ] D_____

Concurrent: _____ Consecutive: _____ [ ] PRC Phy Hrm

Credit for _____ days Nolle Counts: _____ TOTAL TIME: _____
Sex Offender Classification: [ ] Tier I [ ] Tier II [ ] Tier III [ ] Sex Offender [ ] Child Victim Offender | [ ] Arson Offender
Intensive Prison Program: [ ] Not Eligible [ ] Eligible/Recommended [ ] Eligible/Not Rec [ ] Eligible/No Recommend

---

FEES/COSTS: [ ] Costs [ ] Atty Fees [ ] Man Fine $
[ ] Costs Waived [ ] Appt Atty Fees Waived [ ] Man Fine Waived [ ] Supervision Fee Waived

RESTITUTION: $ _____ to _____ ; $ _____ to _____

COMMUNITY CONTROL: [ ] Supervised _____ Years [ ] Direct[ ] Diversion [ ] Intervention/Lieu [ ] Jud Release
[ ] Continued [ ] Cont same terms/conditions [ ] Extended to _____ [ ] Terminated

[ ] AA/NA/CA	[ ] Employment	[ ] Ohio -abide laws-no leave State
[ ] Anger Management	[ ] No Firearm	[ ] Prison Diversion Program
[ ] Breathalyzer _____	[ ] GED/Education	[ ] Sex Offendr Program
[ ] Comm Service _____hrs	[ ] Job Train	[ ] STOP [ ] TASC
[ ] Current Support Order	[ ] License Suspend _____	[ ] Take all prescribed Medication
[ ] Day Reporting _____	[ ] MDO Prog	[ ] No direct/indirect Victim contact
[ ] Drug/Alcohol Treat	[ ] Mental Health Treat	[ ] Wage Withholding
[ ] Drug Testing/Urinalysis _____	[ ] No Muni/State/Fed Off	[ ] Zepf Center-Dual Diag Prog
[ ] No Drug/Alcohol/RX med not law presc Def	[ ] Nonsupport Initiatives Prog	

[ ] CTF _____ [ ] CCNO _____ ☐ Choices Prog _____ [ ] EM _____ [ ] LCCC _____ [ ] WR _____

[ ] Term _____ if CCV

[ ] STAY GRANTED UNTIL _____ ☐ **Rept to 3rd fl Ct Security at 10:30 a.m** ☐ **Rept to Ctrm** _____ ☐ **Refer Juv Court**

[ ] Release to Ct Deputies for Transport to _____ **[ ] Report to LCAPD immediately**
DEFENDANT ORDERED TO: _____

Date: _____ Judge: _____ (for Judge by Crim Bailiff)

CHARGE DISPOSITION INFORMATION
Judge:

Page 1 of 1

[ ] PSI Referral (see CCIF) [ ] Prob/Comm Control Granted (see CCIF) Credit for _____ days Total Jail Time: _____	Institution: [ ] CCNO [ ] LCCC [ ] Marysville [ ] NWOPH [ ] ODRC [ ] TBMFU (Twin Valley) [ ] Other _____	Sex Offender Classification: Tier [ ] I [ ] II [ ] III **and** [ ] Sex Offender [ ] Child Victim Offender [ ] Arson Offender [ ] Mental Health Notice	Intensive Prison Program: [ ] Not Eligible [ ] Eligible/Recommend [ ] Eligible/Not Rec [ ] Eligible/ No Recommend Risk Reduction RC 2929.143 [ ] Recommend [ ] Not Recommended

☐

☐ CT Other _____

Conviction: [ ] Guilty [ ] Lesser / [ ] No Contest [ ] Lesser / [ ] Alford / [ ] to be Nollied / [ ] Interv in Lieu/Guilty
[ ] Guilty by Jury [ ] Not Guilty Jury / [ ] Guilty by Court [ ] Not Guilty Court / [ ] Other _____

Sent on Charge: _____ [ ] Nolle | Mandatory _____ | c/c _____ c/s _____ [ ] _____

PRC:[ ] Mandatory [ ] Discretionary _____ [ ] PRC Phy Hrm / [ ] License Suspension _____

Sent on Spec (if applicable): _____ [ ] Nolle / [ ] c/s [ ] c/c | [ ] _____

Attachment 2: E-filing System Capabilities and Scenarios

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A. Vendor Response to Capabilities Table

The table below lists the capabilities needed in an E-filing framework. The capabilities do not describe the complete configuration of the final product. Configuration requirements will be further defined during implementation in cooperation with the selected Vendor.

1) Vendor Responses to Matrix of Requirements
Vendor must complete the following table and submit with the proposal response.

Directions for completing the tables are:

- "Included" column: Place an "X" in the cell beside the requirement if the proposed solution includes the described capability. Otherwise, leave the cell blank.

- "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 Vendor'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.

2) Sections of the E-filing RFP:

- Business Capabilities and requirements matrix (this document)
- Demonstration Scenarios (this document)
- Non-Functional Requirements
- Existing Interfaces – None.
- Desired Data Exchanges – Implicit with Court/Clerk CMS
- Legacy Data Structures – None.

B. E-filing Capabilities Matrix

1 Adherance to Standards & Rules

#	Description of Capability	Included	Note
	The e-filing is developed in conformance with the OASIS LegalXML Electronic Court Filing (ECF) 4.x specification.		
	Allows migration to new releases of XML standards.		

2 Register and Manage E-filing Accounts

2.1 General

#	Description of Capability	Included	Note
	Maintains a register of authorized users and identifiers. Supports registration/authorization process for submission of electronic court filings by: (a) attorneys; (b) self-represented litigants; (c) judicial officers and court personnel; (d) other agencies; and (e) other authorized users.		
	Provides automated processing of new user accounts, including generating emails to confirm the request and creation of the account.		
	Ability to require that certain types of users provide required information (e.g., a user who identifies as an attorney must provide a Supreme court registration number).		
	Requires a unique user name and password for each user.		
	Ability for users to change their own user names.		
	Ability for users to change and/or reset their own password.		

2.2 Organization/ Group Administration

	Ability to define, manage and control user rights and authorizations at the organization level (e.g., court, law firm, child support agency, prosecutor's office, public defender office).		
	Ability for individual user accounts/"profiles" to be associated with an organization's "group account" so that a user can be verified as a member of the external organization and the user's rights can be based on the group's rights (e.g., an attorney in the prosecutor's office can file a criminal case; an attorney can be identified as a member of a particular firm).		
	Ability for organizations to set up an "Administrator" account that will have the authority to create individual user accounts on behalf of authorized filers within the organization. (e.g., individual accounts for new attorneys in a law firm would be created by that organization's administrator).		

	Ability for users assigned as administrators to view filings for all users in their administration group.		
	Ability to establish different security levels within an organization (e.g., juvenile/ adult, child support).		
	Issues an alert if administrator attempts to assign a user to an inactive profile.		
	Ability to assign security administration responsibilities to multiple users, with the ability to set limits for subordinate security administrators (e.g., a law firm administrator can reset a password for employees of that firm, but cannot establish new user profiles).		

3 Filing Creation and Submission

3.1 Form Reuse or Generation

#	Description of Capability	Included	Note
	Ability to use the courts' existing editable online PDFs and preformatted Word templates in preparing a filing.		
	Ability to support a document assembly process that collects data based on selection of variable categories, criteria, and options and generates the appropriate document for the filing, suitable for self-represented litigants.		
	Ability for filers to select the court and filing type (e.g., new/ existing case, pleading, answer, motion, proposed order) from a pick list, and browse for a document to attach or generate a new one.		
	Automatically filter and display to the filer only the forms, fields, and lists appropriate to the court selected by the filer.		

3.2 Filer Control of Filing

	Ability for filers to select the court and filing type (e.g., pleading, answer, motion, proposed order) from a pick list, and browse for a document to attach or generate a new one.		
	Automatically filter and display to the filer only the forms, fields, and lists appropriate to the court selected by the filer.		
	Ability for filers to include physical and email addresses for distribution of service documents and notices to parties.		
	Displays instructions, conditions, or specific requirements for each case type or filing type when selected. Filing Instructions are specific to a combination of court, case type and document/filing type.		
	Ability to save in-progress filings for completion at a later time.		
	Ability to amend or correct a submission before clerk acceptance.		
	Ability for filers to indicate that one filed document is associated to another document in the filing (e.g., in the event of one document being split into multiple parts).		

	Ability to attach multiple supporting documents and link (e.g., as an exhibit, transcript, multimedia presentation made to the jury) to main documents in the submission, or note the existence of non-electronic submissions (e.g., physical exhibit, oversize document).		
	Supports the attaching and conversion of multiple document formats including but not limited to: PDFs, Word documents, WordPerfect documents, JPEGs and PDF/A.		
	Ability to remove an attached document before submitting the filing.		
	Provides a prompt to the filer to confirm that the filer intends to proceed with the filing before submission.		
	Ability to submit filings to initiate new cases with a minimum amount of information (i.e., “quick filing”), to be followed by a subsequent filing with more details.		
	Ability for filers to check on the status of a filing.		
	Ability for users to list all of their own filings.		
	Ability to submit filings for multiple cases in one submission (also known as “mass” or “bulk” filings), including the ability to attach one or more documents to each case.		
	Ability to submit one document that is filed against multiple cases (e.g., substitution of counsel in more than one case).		
	Ability for a filer to submit filings on an existing case for which they have not previously filed (e.g., a new attorney assigned to a case).		
	Ability to indicate whether an appeal is to be on the “Regular” or “Accelerated” calendar when filing is submitted.		
	Ability for filers to modify and resubmit submissions which have been rejected.		
	Ability for filers to indicate # of pages submitted in each document.		

3.3 Court Submission Control and Administration

	Ability to support filing of scanned documents of litigants not required to use e-filing or exempted from the requirement.		
	Ability to direct filers to appropriate web pages that display specific rules and restrictions for the selected court.		
	Ability to require that specific information be provided when a new case is initiated (e.g., parties; court and original case number for an appeal, etc.) and with each document (e.g., number of pages in each document).		
	There is no e-filing limit on the number of parties to be included in a case (i.e., any limit is determined by the CMS).		
	Ability for a court’s judicial officers and staff to submit orders or notices as electronic filings, and to finalize a proposed order and file it.		
	Displays an up-to-date register of filings within a configurable time period that filings are available in the e-filing system, beyond which period access is available through the court’s case management system.		
	Ability to identify high-priority documents that are to be routed to a high-priority queue (e.g., a motion filed before someone is released from jail).		

	Ability to record time stamp and other information on filed documents (e.g., time and date of filing, case number, clerk identification code, unique identifier for the actual document, attorney code number, judge assignment).		
	Verifies page count for attached documents at time of filing.		

3.4 Integrity Controls

	Automatically acknowledges receipt of filing, pending clerk review.		
	Records all dates and times needed to apply each court's rules governing the date and time that a filing is deemed to occur for that court.		
	Assigns a unique identifier for each filing transaction upon receipt.		
	Provides error messages and correction options if the submission is not in accordance with the court's rules, policies and requirements.		
	Sends a message immediately to the filer and holds the filing for submission when the court's case management system is not operational.		
	Ability to support assessment of filings before the clerk's official review of "formal compliance" (i.e., entry of all required data fields including case number, filer status, filing party, case type, document types, other elements required for populating the clerk's database), and notify filer with an appropriate message if non-compliant.		
	Ability to support determination before the clerk's official review that filings are invalid (e.g., wrong case number, wrong attorney, wrong jurisdictional amount, motion for expungement on wrong case type), and notify filer with an appropriate message if invalid.		
	Maintains a log of non-compliant and invalid filings with reason for rejection.		
	Ability to ensure/verify that submitted documents have not been corrupted during upload, and issue an alert if they may have been.		
	Issues an alert to the filer if the CMS is down at the time of the filing.		

4 Submission Review by Clerk

#	Description of Capability	Included	Note
	Provides for review of received data and/or documents by staff before acceptance.		
	Ability to support automated acceptance of designated filings based on predefined criteria established by the courts (i.e., "turn off" clerk review).		
	Automatically dockets a filing and issues a notification to filer and all designated parties when a filing is formally accepted, and provides court-defined information to the filer (e.g., case number, a link to the filed document image(s), notes or comments provided by the person who processed the filing).		

#	Description of Capability	Included	Note
-	Automatically issues a notification to the filer when a submission is rejected, with the ability to include notes or comments from the person who processed the submission rejection in the notification.		
-	Ability for authorized individuals to take multiple actions on a submitted filing, including indicating acceptance or rejection, making notes, and/or requesting further information .		
-	Ability for reviewer to send notes or comments to filer before or after accepting a filing (e.g., to inform filer why a filing has not been accepted, to request the filer take additional action) .		
-	Filers of time-sensitive requests (e.g., continuances submitted ten minutes before a hearing) are notified that while the request has been submitted, the request may not be approved in the timeframe requested.		

5 Workflow

5.1 Work Queues and Lists

#	Description of Capability	Included	Note
-	Ability to establish work queues based on one or more categories such as: role (e.g., clerk, bailiff, judicial officers, assignment office, external entity), case type (e.g., all appeals go to one queue, all mandamuses filed in the court of appeals go to another queue), or filing type (e.g., arraignment, execution).		
-	Queues are accessed by either a single or multiple court users based on user profiles.		
-	Ability to automatically route submissions according to pre-defined business rules (e.g., some documents automatically go to assignment office for a date before being filed with the clerk; documents filed by a magistrate go to the appropriate judge for approval before filing).		
-	Ability to move time-sensitive or other high-priority documents to the top of a user or workgroup queue dependent on time-based and other defined rules.		
-	Ability for users to direct any document in their work queue to any other individual or workgroup queue (e.g., the staff for a particular judicial officer).		
-	Ability for authorized individuals (e.g., judicial officers) to replace a submitted document (e.g., a proposed order from an attorney) before acceptance with a new version of that document (i.e., a revised order).		
-	Ability to list all submissions and filings from a particular organization or agency (e.g., law firms, prosecutor's office, public defender's office).		
-	Issues a notification to the filer when a submitted document is routed for further action before acceptance.		
-	Ability for users to send notes which do not become part of the case record when forwarding a document to.		

5.2 Alerts and Ticklers

	Ability for users to set ticklers and reminders regarding documents in a user or workgroup queue needing action based on user-specified variable timing requirements (e.g., future action required in nnn days; no action on a submission has been taken in nnn days, etc.), with an alert or notification issued when the timing criteria has been reached.		
	Ability to designate email addresses (multiple) where user-defined alerts / reminders should be routed.		

6 Docu ment Management & Conversion

#	Description of Capability	Included	Note
	Data and documents associated with a filing are stored in a queue until approved or rejected.		
	Automatically converts submitted documents to searchable PDF when a filing is accepted or a judge files a Word document, stamps each page with court-defined information (e.g., time and date of acceptance, case number, doc ID) and stores the PDF/A in the appropriate DMS .		
	Ability to ensure/verify that electronic documents are not modified during the conversion process (other than the inclusion of court-defined content stamped on the document).		
	Places submissions into a temporary queue for later processing in the event the filing front-end of the system is up but the back-end (e.g., server transmission line) is down, and automatically completes the submission when the data server is back up.		
	Allow the e-filing party to identify documents made confidential by statute, court rule, or court order and store them in the DMS with an appropriate level of security.		
	Allow the e-filing party to electronically submit documents under temporary seal pending court approval of the party's motion to seal, and store them in the DMS with an appropriate level of security based on the court's order.		
	Allow the e-filing party to electronically submit documents for *in camera* viewing by the court, and store them in the DMS with an appropriate level of security based on the court's order.		
	Allow a judge to designate a filed document as sealed and automatically notify parties of the designation.		
	Ability to delete documents in accepted filings which had not been converted and stored in a DMS.		
	Ability to remove documents from the active docket and move to another secure location and other case information which may exist in the e-filing system when a case is expunged.		
	Ability to print copies of documents on demand.		

7 Court Payments

#	Description of Capability	Included	Note
-	Supports changes in filing fees and access changes from current CMS		
-	Ability for the courts to designate a required method of payment for specific case types (e.g., credit card, debit/ draw-down account, “pay at counter”).		
-	Calculates and displays fees based on a predefined fee schedules in the appropriate CMS (e.g., fees based on various criteria including type of case, type of service, number of pages in service documents).		
-	Ability for filers to provide an indication that a fee waiver request order has previously been approved.		
-	Automatically notifies filer of updates to a fee amount if a clerk makes a change to a filing that causes fees to change.		
-	Maintains a log of financial transactions for filings.		
-	Checks at time of submission for confirmation of a fee waiver if filer indicates that a fee waiver request order has been approved. If found, the submission is allowed. If not found, a prompt is issued to either provide a method of payment or contact the court.		
-	Automatically waives fees based on the user profile of the filer (e.g., courts and defined agencies are not subject to a filing fee).		
-	Prevents submission (i.e., the submission never reaches the clerk review queue) if no form of payment and no request for waiver is included with filings that require payment.		
-	When a debit account is used for payment, checks availability of funds at time of submission and “reserves” or places a hold on the funds.		
-	When a credit card is used for payment, automatically initiates an authorization request transaction.		
-	Tracks authorization number provided by credit card processing bureau.		
-	Submission is prevented if a debit account does not contain adequate funds for the filing or if credit card authorization is not received.		
-	Fees charged for using credit cards are disclosed to filer when payment by credit card is selected.		
-	Fees are charged to the debit account or credit card when the filing is accepted .		
-	Ability for each court to use a different credit card processing bureau for their cases.		

8 Service and Notice

#	Description of Capability	Included	Note
-	Ability for registered users to define a default method for notifications to be sent to them (e.g., one or more email addresses).		

#	Description of Capability	Included	Note
-	Ability to define a required method of notification or service for specific document types.		
-	Ability to select multiple methods of service for each party.		
-	Ability to indicate which party is to receive each document, and the manner in which service is to be performed (e.g., personal service, electronically, certified mail).		
-	Ability to identify non-electronic filing parties to whom non-electronic service must be provided.		
-	Ability to define recipients to receive all notifications of a particular filing type (e.g., legal newspaper receives notification of certain documents filed by an agency).		
-	Ability to distribute service copies by email to registered parties and others defined to receive service electronically.		
-	Ability to send outbound notifications to any email service or workgroup product.		
-	Automatically tracks service return status for each document and issues notifications when a proof of service is filed.		
-	System log tracks the date and time of each notice sent to any party.		
-	Automatically creates a certificate of service docket entry in the appropriate court's case management for the document served electronically.		
-	Ability to add new parties (and participants) to a case, remove parties and modify parties at any time that update the CMS.		

9 E-Filing Integration with Other Applications

9.1 General

-	Data exchanges/ Interface transactions are logged.		
-	Bi-directional data exchanges.		

9.2 Case Management Transactions

-	Reads data in submitted documents (forms and attached Word templates, PDFs, etc.) and verifies that information against the CMS (e.g., case number).		
-	The appropriate CMS is updated automatically with data contained on screen forms and attached documents when the submission is approved. Such data may include case information, parties and/or other information relevant to the filing.		
-	Automatically dockets accepted filings in the appropriate CMS, including docket for single documents which result in docket entries in multiple cases.		
-	Verifies attorney information (e.g., bar number) stored in the CMS upon submission of a new case filing.		

-	Automatically creates and dockets an electronic certificate of service in the appropriate CMS when served.		
-	Updates CMS information in e-filing system (e.g., party information, case track assigned by judge/magistrate, court dates, Timeline for Actions/ case schedule).		
-	Ability to process filings on cases which have been consolidated in each CMS.		
-	Ability to process filings on cases which have been split in each CMS.		

9.3 Document Management Transactions

-	Documents submitted to the Common Pleas court are converted to PDF/A at the time of acceptance, stamped with Common Pleas court-defined content (e.g., date and time, image number obtained from the DMS, etc.), and stored in the Common Pleas DMS. The e-filing system then provides the image number to the CMS to enable access.		
-	Documents previously held from the conversion process are automatically converted, stamped and stored in the appropriate DMS when case status in either CMS changes to a specific code.		

9.4 Financial Transactions

-	Ability to integrate with credit/debit card bureau processing systems for automatic balance checking when a filing is submitted (e.g., Official Payments).		
-	Posts filing fees for Common Pleas cases to the Clerk's CMS.		

9.5 Prosecutor CMS Transactions

-	Ability for Prosecutor’s CMS to deliver documents in bulk.		

10 Security

10.1 Administration and Controls

#	Description of Capability	Included	Note
-	Ability to define role-based groups for filing, filing review and document handling processes.		
-	Ability to define, manage and control (i.e., assign and revoke) user rights and authorizations (e.g., the information any individual user can view, edit) via role-based security profiles.		
-	Ability to restrict who can submit initial filings to initiate cases based on specific case types (i.e., only prosecutor, municipal courts and sheriff department users may submit filings that initiate criminal cases).		
-	Performs a virus check on every document submitted via the e-filing system.		
-	Ability to activate and deactivate security authorizations at any time, including audit trails of changes.		

#	Description of Capability	Included	Note
-	Ability to establish rules that govern what a password can be (e.g. cannot use portion of last password, cannot use user ID as password, cannot use own name).		
-	Ability to encrypt passwords and prevent them from display and printing.		
-	Ability to retain history associated with a user name even after that user name is deleted or deactivated.		
-	Ability to prevent deleted/deactivated user names from being re-used.		
-	Immediately enact security changes made by administrators (i.e., restart is not required to effect security changes).		
-	Ability to logout from system at any time from any screen.		
-	Ability to set system-wide time-out limits .		
-	Ability for an administrator to immediately "terminate" an end-user's session.		
-	Ability to log and track all activities and actions (e.g., submission, acceptance/rejection, forwarding for further action, log on, log off, failed access, administration actions such as table updates).		
-	Ability to prevent access after a configurable number of failed access attempts.		
-	Ability to generate e-filing administration reports (e.g., activity, inactivity, audit trails) .		
-	Ability to establish a hierarchy for security profiles.		
-	Ability to assign an individual to multiple security profiles.		
-	Ability to require that passwords be changed at configurable intervals (e.g., 90 days) with prompts issued to users as the interval approaches.		
-	Ability to limit or allow access to filings and/or work queues based on court, case type and/or role (e.g., only the clerk(s) authorized to process adoption can access adoption filings in the queues).		
-	A security profile with active users cannot be deleted or deactivated.		

10.2 Signature and Authentication

-	Ability to impose an identifier (e.g., "/s/") indicating the electronic signature of the filer who electronically signed a document.		
-	Ability to impose an identifier (e.g., "/s/") or a digitized image of a judicial officer's signature on a document signed electronically.		
-	Ability for one person to "sign" a document on behalf of another (e.g., a bailiff may be directed to sign/approve an order under the authorization of the judge).		
-	Ability to incorporate the use of signature pads to obtain "point-of-sale" signatures, whether the individual is logged into the system (e.g., a judicial officer) or not (e.g., a defendant in a courtroom setting) .		

10.3 Case and Document Confidentiality

-	Ability to configure multiple levels of case level, event level and document level security.		

-	Restricts access to submitted documents until they are accepted, so that only submission reviewers and the filer can access the documents, based on one or more of the following: • case type (e.g., adoptions, juvenile); • document type (e.g., pre-sentence reports); • data (e.g., witness or complainant names or addresses in protective orders)		
-	Ability for filers to submit both original and redacted versions of a document containing confidential information (e.g., SSN).		
-	Ability to change the confidentiality status for any or all documents in a case.		

11 Data Entry Controls and Administration

11.1 Data Entry

#	Description of Capability	Included	Note
-	Uses standard word processing capabilities (e.g., word wrap, backspace, delete, undo, insert, overtype, etc.) in free-form text fields.		
-	Dynamically displays additional fields based on entered data (e.g., the next line for additional data is displayed when one line is filled in).		
-	Ability for data entry in designated fields to automatically generate a prompt for further action associated with that field (e.g., to schedule a next event).		
-	Automatically validates that correct formats are used for data entered into designated fields (e.g., when data needs to be validated by either CMS) .		
-	Ability to designate and highlight mandatory data entry fields and prevent the user from proceeding to the next screen until valid information is entered.		
-	Ability to paste copied data into screen forms, online PDFs and Word templates.		

11.2 Table Administration

-	Ability to define relationships between data fields (i.e., if data is entered in one field, data must exist or be entered in the related field).		
-	Provides table-driven and rule-driven screens for administration functions (e.g., defining user profiles, managing lists of values).		
-	Ability to edit tables and lists (i.e., entry and updates of codes and descriptions) without programming.		
-	Ability to update tables and lists (i.e., entries can be inserted, removed, or modified) at any time without impacting filings which have used values subsequently updated.		
-	There is no unreasonable limitation to the number of entries which can be made in each table or list of values.		
-	There is no unreasonable limitation to the number of fields that can be included in any table or list of values.		

11.3 Online Form Administration

-	Clerk's staff will be able to modify online PDF documents and Word templates used by filers without vendor assistance.		
-	Clerk's staff will be able to make minor changes to screen forms used by filers without vendor assistance.		

12 General Technical Considerations

-	Application DBMS is SQL Server at the generally available release.		
-	The application is entirely browser-based. Users do not need to install any software other than a web browser to use it.		
-	Any browser (e.g., IE, Safari, FireFox) can be used to submit filings.		
-	Using the application does not prevent end-users from concurrently starting or accessing other applications (including other browser-based applications) from their computers.		
-	Application architecture provides capabilities for high volume filers to file large numbers of documents and attachments at one time ("mass filing").		
-	Application is able to run in a "virtualized" environment.		
-	Application is able to be remotely accessed by the vendor through a VPN connection (or other means of secure remote access) for remote support.		
-	Ability to define system-wide function keys (e.g., F1=help).		
-	Application run-time environment does not require an active "administrator" session or manual processes to execute.		
-	Log-on by employees is capable of being authorized via single-sign capabilities upon log on to the County's network.		
-	Application is capable of being incorporated into an enterprise backup configuration for automated backups.		
-	Application is capable of being replicated offsite without taking it off-line.		
-	Any sorting by date is based on the YYYY-MM-DD algorithm.		
-	Time is consistently displayed throughout the system (i.e., either in conventional or military time format).		
-	Application is capable of mobile access.		

13 Help and Vendor Support

-	Help menu is consistent with industry-standards for online documentation (e.g., contents, index, "What's This?", searching).		
-	Helpful information is displayed in a consistent location on each screen including, but not limited to: current date and time; screen name or identifier code; error message; function and alt-function keys, etc.		

-	Application provides field-level help.		
-	Ability to identify words on screen for which definitions or additional information will be provided (e.g., displayed via hovering).		
-	Ability for to customize error messages and augment help text at any time		
-	Ability to issue broadcast messages to users when they log on, to inform them of policy and procedure changes relative to e-filing		
-	Users are notified of "What's New" (revisions, additions, deletions) when accessing documentation which has been updated		
-	Ability to use external help authoring software to build help content		
-	Ability to import and index full-motion videos and audio clips as online documentation for help or training purposes		
-	Vendor-provided documentation is available in electronic format and can be included in the help materials		

C. E-filing Demonstration Scenarios

These functions require some interface with the CMS and the DMS, and without interfaces cannot be fully demonstrated. Screen shots and “talking through” the process may suffice.

C.1 Set Up E-filing Account

1. Enter attorney name and other information
2. Complete registration process and receive confirmation account set-up
3. Display court’s roster of attorney registrations

C.2 Attorney E-filed Civil Case Initiation with Fee Payment

1. Extract filer name from cover sheet, confirm filer status and verify fee payment arrangements
2. Acknowledge receipt and save it as tentatively accepted, time-stamp (endorse), with docket entry
3. Clerk reviews and makes acceptance/rejection decision
4. Alternative: Notify filer of reasons if rejected, with docket entry
5. Obtain and record fee payment, with docket entry
6. Alternative: Request for fee waiver similar to “Attorney E-filed Proposed Order” scenario below
7. Initiate case - assign case number, make entry in docket
8. Search master name index for possible matches
9. Clerk selects suggested information, or else accepts/adds new party information
10. Steps (#8) and (#9) repeat for each party added
11. Save documents in case with docket entry
12. Generate service documents and route or -email to Sheriff Division for service, with docket entry

C.3 Attorney E-filed Proposed Order (Civil)

1. Extract filer name from cover sheet and confirm filer status (assume no fee)
2. Acknowledge receipt and save it as tentatively accepted, time-stamp (endorse), with docket entry
3. Clerk reviews and makes acceptance/rejection decision (notify filer of reasons if rejected) , with docket entry
4. Send the proposed order to the designated workgroup’s queue for review, with docket entry

5. Judge reviews proposed order and signs it electronically or returns it with instructions, with docket entry, and sends to clerk, with docket entry
6. Save documents in case with docket entry
7. Generate service documents and route or email to Sheriff for service, with docket entry

C.4 Attorney E-filed Motion (Civil or Criminal)

1. Extract filer name from cover sheet and confirm filer status (assume no fee)
2. Acknowledge receipt and save it as tentatively accepted, time-stamp (endorse), with docket entry
3. Clerk reviews and makes acceptance/rejection decision (notify filer of reasons if rejected) , with docket entry
4. Send motion to designated workgroup queue for appropriate action (e.g., set hearing)
5. Save documents in case with docket entry
6. Serve documents on registered users, with docket entry for each; if there is a non-registered recipient, notify filer that non-registered party must be served by other means, with docket entry

C.5 Attorney E-filed Pleading Not Adding Parties

1. Arrangements (assume fee applies)
2. Acknowledge receipt and save it as tentatively accepted, time-stamp (endorse), with docket entry
3. Obtain and record fee payment, with docket entry
4. Save documents in case with docket entry
5. Serve documents on registered users, with docket entry for each; if there is a non-registered recipient, notify filer that non-registered party must be served by other means, with docket entry

C.6 Mass Case Operations

1. Enter first filing for a collection agency as plaintiff (high volume filer)
2. Show method of entering multiple e-filed documents and attachments at one time (“mass e-filing”)

C.7 Document Creation Process for Self-Represented Litigants

1. Enter person name, mailing address or e-mail address (optional) and other identifying information
2. Complete registration process and receive confirmation account set-up
3. Person enters information relating to the claim and submits it to system
4. Acknowledge receipt and save it as tentatively accepted, time-stamp (endorse), with docket entry
5. Clerk reviews and makes acceptance/rejection decision
6. Alternative: Notify filer of reasons if rejected, with docket entry
7. Initiate case - assign case number, make entry in docket
8. Search master name index for possible matches
9. Clerk selects suggested information, or else accepts/adds new party information
10. Steps (#8) and (#9) repeat for each party added
11. Generate service documents and route or email to plaintiff for service, with docket entry

C.8 Prosecutor E-Filed Criminal Case Initiation

1. Criminal complaints may be imported through an interface with the prosecutor’s CMS
2. Clerk would initiate each case after reviewing the complaint.
3. Prosecutor would make subsequent filings in criminal cases through this E-filing System, or through the interface.

C.9 Adult Criminal Protocol

1. Grand Jury uploads indictment or No-Bill in PDF form through interface.
2. Clerk of Courts reviews indictment and initiates case.
3. Interface must allow options for in custody, secret indictment, reference back to municipal court case number, direct indictment (Generates Notice to Municipal Court Prosecutor's Office that the Defendant was directly indicted so preliminary hearing can be canceled)
4. Notices sent electronically to the Prosecutor's Office & Sheriff's Office if in Custody of Arraignment Date or Notice of No Bill
5. Arraignment Judge/Magistrate Completes electronic form entering Not Guilty
6. Plea, appointing counsel and setting Pre-Trial (Drop Down Menu Form)
7. Arraignment Entry is sent electronically to the Prosecutor and Defense Attorney if Defense Attorney is registered with Court (Suggest Registration with Court required for Court Appointment)
8. Subsequent Motions & Documents to be filed by and served on Prosecutor's Office Electronically
9. Registered Defense Counsel to be served electronically
10. System must allow filings by prosecutor to be designated as follows
    a. IN CAMERA (Judge Only)
    b. COUNSEL ONLY (Judge + Counsel Only)
    c. PUBLIC

(System could default to public but allow via check box one of the other two options)

Attachment 3: Supervision Capabilities and Scenarios

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A. Introduction to Business Capabilities

These requirements for a supervision case management system (CMS) are based on business capabilities which describe the supervision case management duties of three departments of the Lucas County Court of Common Pleas:

1. Pretrial-Presentence Department (General Division)
2. Adult Probation Department (General Division)
3. Juvenile Probation Department (Juvenile Division).

Business capabilities use the term "Supervision" because in Lucas County the Pretrial-Presentence Department, the Adult Probation Department and Juvenile Probation Department perform similar functions of supervision. The term "Supervision" is used when the function applies to all three departments; otherwise, for specialized functions the departments are referred to separately.

People subject to an order of Supervision may be referred to as clients or defendants. Juveniles are referred to as "youth" or "respondents" rather than "defendants."

This document defines the requirements by identifying business capabilities needed by Supervision users in all three departments. Detailed business capabilities describe what Pretrial-Presentence and Probation officers, case managers and staff do in the course of their work, and are broken down into requirements: business rules, process activities, reports/ displays, application capabilities and data needs support the business capabilities of users. Detailed business capabilities have an outline numbering scheme (e.g., 1.1, 2.1.1) that corresponds to a section of the requirements.

1) Organization of Business Capabilities. The table below shows adult criminal and juvenile Supervision capabilities which are generally grouped together because of the relative similarities of these case types. It also separates adult criminal and juvenile business capabilities which are different and separately described.

Adult	Juvenile
1. Initiate Supervision Case	
2. Maintain Pretrial, Adult Probation and Juvenile Probation Case History	
3. Initiate Adult Pretrial Supervision Case	4. Initiate Juvenile Referral/ Intake
	5. Juvenile – Determine Appropriate Action/ Staffing
6. Supervision Defendant/ Youth	
7. Investigate/ Recommend	
8. Manage Supervision Programs and Services	
9. Manage Supervision Office Workload	
10. Measure Supervision Performance	
11. Adapt to Changing Business Environment	
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2) Vendor Responses to Matrix of Requirements

Vendors must respond to requirements listed in the Requirement Matrix in each section. They are required to provide a Response Code to each requirement and a narrative response.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
Reference Number	**Title of Requirement** Description of Requirement **Vendor Response (written narrative here):**				

Legend of Response Codes:

- I = Included
- C = Must Customize to meet requirement – and estimated hours to customize
- N = Not Supported (not willing or able to customize)

The types of requirements to which vendors must respond are described in the table below.

RD Report/ Display Needs	These requirements are called "Report/ Display Needs" because they can be printed on paper or displayed on a screen, at the option of the user. Almost all reports are specified for a given date range.
AC Application Capabilities	Application capabilities are functions that an application must perform during a business process. Vendors will be required to state whether their case management solution has an application capability built into it through configuration, or whether it must be customized. Application Capabilities are numbered sequentially in these requirements.
DE Data Exchanges	Data exchanges mean data and document content imported to and exported from the CMS.
DN Data Needs	Data elements required by other requirements are identified as data management needs, such as indicator flags, data history tables, and other kinds of data used by business rules and for Report/ Display Needs.
TI Technology Infrastructure Needs	Infrastructure needs include requirements related to hardware, systems software, network capabilities and facilities.

These four items associated with a numbered Business Capability will be in free text:

1 Business Capability Description
2 Business Rules
3 Process Activities
4 Demonstration Scenarios (following the matrix of requirements)

3) Notable Characteristics of the Supervision Case Management System

Separation of Juvenile Data from Adult Data.

Vendors are notified here of the non-functional requirement that adult supervision users must have no access or limited access to juvenile supervision data.

Supervision Case Data Separate from but Related to Court Case Data

Supervision cases based on criminal and juvenile court cases contain information added by Supervision Department staff which is confidential to Supervision departments. Court case data is either imported into Supervision cases or viewable in conjunction with Supervision cases. All Supervision Departments will be able to view all criminal, civil and domestic relations cases; the Juvenile Probation Department will be able to view juvenile cases.

Program Referral Types (see Section 2.3 Program Referrals)
The Supervision CMS ideally will enable configuration of program referral types (including data entry screens, configurable lists of values, and database fields) which have the following characteristics:

1) Participants
   – Participants in the program (defendants/ youths)
   – Demographics of program participants, for use in analyzing individual and program success
   – Supervision Department staff who refer a defendant/ youth to the program, update its information, communicate with participants, record program case notes, and track completion of goals of the program
2) Person/ demographic data used to initiate and update the program
3) Status of participants in the program (list of values varies by program type)
4) Event log of events that occur in the program (functions like a Supervision CMS Register of Actions)
5) Program case notes (list of values and free text)
6) Document generation using program data in document templates
7) Attach documents associated with events in the log of events
8) Future scheduled events and a means to schedule and tickle them
9) Financial information associated with the program, if applicable
10) Reporting

4) Sections of the Supervision CMS RFP:

A. Business Capabilities and requirements matrix
B. Demonstration Scenarios (This document)
C. High-Level Functional and Technical Requirements(This document)
D. Solution Platform Non-Functional Requirements and Scenarios – Attachment 7
E. Existing Interfaces – Attachment 8: Current Interfaces.
F. Desired Data Exchanges
G. Legacy Data Structures.

1 Initiate Supervision Case

Business Capability Description

Adult supervision cases have three methods of origination: (1) pretrial supervision cases where the defendant is arrested and booked in jail, and released on supervised bond; (2) presentence supervision cases which the Probation Department prepares a presentence investigation; (3) sentenced supervision cases which the Probation Department supervises.

Juvenile supervision cases may begin has an unofficial case through a referral by law enforcement, a school, a parent or an agency, for which the Juvenile Probation Department provides services until case closure or the case becomes an official case. Official cases are prosecuted by the Juvenile Division the Prosecuting Attorney's Office, and the defendant may be a juvenile or adult. The juvenile may be in detention. Juvenile Probation also tracks youth who are subjects of civil dependency, abuse and neglect cases.

Information in official and unofficial Juvenile Court cases is confidential to officers and staff of the Juvenile Court and all Common Pleas judges, and is otherwise not accessible to anyone outside the Juvenile Court.

1.1 Criminal and Juvenile Person/ Case Search

Business Capability Description

Supervision officers and staff involved in Criminal and Juvenile Divisions search for persons (parties and other participant roles such as victims/ witnesses and attorneys) and cases, when retrieving records for further processing, including initiating a new Supervision Case. Case searches identify defendants/ youths involved in civil cases of all kinds to enable cases to become related and resolved together rather than separately.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1-01	**Person Search Results Display** Display case and person search results, and sort search results by sortable fields in ascending or descending order. **Vendor Response (written narrative here):**				
AC 1.1-01	**Search Using Person and Case Attributes** Search case and person information shown in **RD 1.1-01 Person and Case Search Results Display**. **Vendor Response (written narrative here):**				
AC 1.1-02	**Download Search Results** Download results of searches into csv file, Excel or other pre-defined format. **Vendor Response (written narrative here):**				
AC 1.1-03	**Search Using Other Methods** 1. Show Probability of Same Name Search Results Display probability that the name searched matches names returned, based on the likelihood of valid identification (Dropdown: fingerprints, alias match, demographics match, mug shot available), placing the highest probability matches at the top of the search list, to avoid creation of duplicate records for individuals 2. Score possible matches is based on results of search criteria. The persons with the highest score will appear first in the list. The scoring criteria are table-based and can be changed by the system administrator to fine tune the results. For example Exact surname match – 100 Partial surname match - 30 Exact first name match – 50 Partial first name match – 15 Exact date of birth match – 60 Exact day and exact month - 10 3. Search data using wild card characters and Boolean operators (e.g., and, or, not). 4. Search names on various combinations of person name (e.g., full name, last name only, part of first or last name, abbreviation of a proper name (e.g., Liz or Beth for Elizabeth)), hyphenated name, "street/gang" name, or alias				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	name and type of alias. 5. Search data using wild card characters and Boolean operators (e.g., and, or, not). 6. Search using all or part of person identifiers (e.g., partial DL number) 7. Support phonetic and other complex (multi-field) algorithms for matching identities to avoid creation of duplicate records for individuals. 8. Search for cases using the person address field. 9. Specify a combination of name component and physical descriptor. 10. When a Date of Birth has been specified, enable a user to specify that an exact match to the specified Date of Birth is to be found. 11. When a Date of Birth has been specified, enable a user to specify that persons having similar birth dates are to be returned (e.g., same month, same day, same year). 12. Perform a name search by specifying a full last name and partial first name 13. Partial Field Searches Search based on partial information, Dropdown: a partial driver license, license plate, VIN number, citation number, summons number. 14. Wild Card and Boolean Searches Search data using wild card characters and Boolean operators (Dropdown: and, or, not). 15. Magnetic Stripe or Bar Code Search Conduct a search by swiping a driver's license or other form of ID with a magnetic stripe or bar code. 16. Hispanic and Native American Names Permit searching of Hispanic and Native American names, using special approaches to deal with differences in these names **Vendor Response (written narrative here):**				
AC 1.1-04	**Identify Related Cases/ Matters** Enable the user to view Related, Associated and Consolidated cases as defined in the business rules of this Business Capability. **Vendor Response (written narrative here):**				

1.2 Criminal and Juvenile Case History Search

Business Capability Description

Supervision Department staff perform case history searches of juveniles and adults accused of juvenile and criminal offenses (the "criminal history"). (Juveniles may be defendants in cases certified as criminal cases, and adults may be defendants in juvenile cases as co-defendants or such offenses as contributing to the delinquency of a minor.)

Req. #	Requirement	Response Code			Estimated Hours to Customize
RD 1.2-01	**Criminal History Search Results Display** Display the criminal and juvenile cases of the named person. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
AC 1.2-01	**Criminal History Retrieval** Retrieve an Criminal History record by specifying parameters listed below: 1. Retrieve a Criminal History record by performing the Name Search function, and present all Criminal History records linked to the Master Name Index ID returned by the Name Search function 2. Retrieve Criminal History records by specifying a Court Case Number, and present all Criminal History records linked to the specified Court Case Number 3. Retrieve Criminal History records by specifying a DOB, and present all Criminal History records linked to the specified DOB 4. Retrieve Criminal History records by specifying a Warrant Number, and present all Criminal History records linked to the specified Warrant Number 5. Retrieve Criminal History records by specifying a Booking Number, and present all Criminal History records linked to the specified Booking Number 6. Retrieve an Criminal History record by specifying a Resident Address, and present Criminal History records linked to the user specified Resident Address **Vendor Response (written narrative here):**				
DE 1.3-01	**Retrieve LEADS Criminal History** Import criminal history from the Ohio Law Enforcement Automated Data System (LEADS). **Vendor Response (written narrative here):**				

1.3 Initiate Supervision Case

1.3.1 Initiate Criminal Pretrial Supervision Case

Business Capability Description

Pretrial Supervision Department staff enters data from arrest and booking documents or imports electronic data on criminal defendants from the Jail Management System or Court/Clerk CMS. See **3.1 Enter/ Import Jail Booking Intake Information for Pretrial Supervision Case**.

After a criminal court case has gone through adjudication, the court may order a presentence investigation report before sentencing. See **7.1 Investigation Reports**.

1.3.2 Initiate Adult Probation Supervision Case

Business Capability Description

After a criminal court case has gone through sentencing, Supervision Department staff updates a Supervision case by entering a Court Case Number, which imports Court/Clerk CMS case data and case-related documents to populate the Supervision case with probation order information. See **2.2.1 Import Court Events from Court/Clerk CMS**.

1.3.3 Initiate Juvenile Supervision Case

Business Capability Description

After a juvenile court case has been referred to Juvenile Probation, Juvenile Probation staff

creates a Supervision case by entering referral/ intake data – see **4.1 Enter/ Import Juvenile Referral/ Intake Information**.

1.3.4 Assign Case to Supervision Officer

Business Capability Description

The Supervision Department assigns a case to a Supervision officer according to rules designed to equalize workload, and appropriate to assessment level of cases, skill levels and interests of Supervision officers.

BR 1.3.1-01 Assign New Pretrial/ Presentence Case to Pretrial/ Presentence Officer
[Specify the rule or algorithm based on cases assigned and assessment level]
BR 1.3.1-02 Assign New Criminal Case to Adult Probation Officer
[Specify the rule or algorithm based on cases assigned and assessment level]
BR 1.3.1-03 Assign New Juvenile Case to Probation Officer
[Specify the rule or algorithm based on cases assigned and assessment level]
BR 1.3.1-04 Track Assignment of Supervision Officers to Cases
Cases assigned to Supervision officers maintain a history of officers assigned to the case.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.3.4-01	**Current Workload of Supervision officer** As of a certain date, the report shows the cases assigned to a Supervision officer, by case type/ subtype and assessment level. **Vendor Response (written narrative here):**				
RD 1.3.4-02	**Workload of Supervision Officers by Division** As of a certain date, the report shows the cases assigned to Supervision officers with case type/ subtype, assessment level and date assigned, and summary totals by Supervision officer, as contained in **DN 1.3.4-01 Case Assignment and Workload Equalization Table** **Vendor Response (written narrative here):**				
AC 1.3.4-01	**Automatically Assign Pretrial/ Presentence Cases to Adult Pretrial/ Presentence Officers** Automatically assign cases to Supervision officers according to **BR 1.3.4-01 Assign New Pretrial/ Presentence Case to Pretrial/ Presentence Officer**, affecting workload calculations of Supervision officers for maintaining equality of judicial workload, and record the assignment in the case history (see **BR 1.3.4-04 Track Assignment of Supervision Officers to Cases**). **Vendor Response (written narrative here):**				
AC 1.3.4-02	**Automatically Assign Felony and Misdemeanor Cases to Adult Supervision Officers** Automatically assign cases to Supervision officers according to **BR 1.3.4-02 Assign New Criminal Case to Adult Probation Officer**, affecting workload calculations of Supervision officers for maintaining equality of judicial workload, and record the assignment in the case history (see **BR 1.3.4-04 Track Assignment of Supervision Officers to Cases**).				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 1.3.4-03	**Automatically Assign Juvenile Cases to Juvenile Supervision officers** Automatically assign cases to Supervision officers according to **BR 1.3.4-03 Assign New Juvenile Case to Probation Officer**, affecting workload calculations of Supervision officers for maintaining equality of judicial workload, and record the assignment in the case history (see **BR 1.3.4-04 Track Assignment of Supervision Officers to Cases**). **Vendor Response (written narrative here):**				
AC 1.3.4-03	**Transfer or Reassign Cases** Enable the user to manually assign or reassign cases to Supervision officers, affecting workload calculations of Supervision officers for maintaining equality of judicial workload, and record the transfer or reassignment in the case history (see **BR 1.3.4-04 Track Assignment of Supervision Officers to Cases**).. **Vendor Response (written narrative here):**				
AC 1.3.4-04	**Mass-Assign Cases from One Supervision Officer to Another** Mass-assign a group of cases or all cases from one Supervision officer to another Supervision officer or among a group of Supervision officers, according to workload calculations of Supervision officers for maintaining equality of judicial workload. , and record the mass assignment in the case history of each case (see **BR 1.3.4-04 Track Assignment of Supervision Officers to Cases**). **Vendor Response (written narrative here):**				
DN 1.3.4-01	**Case Assignment and Workload Equalization Table** Business rules are configured into the case assignment table for assigning cases to Supervision officers. The table records assignment of cases to Supervision officers, populated when a case is assigned, either initially or as a case is reassigned manually. Table entries assigned to a different Supervision officer or Supervision officers. **Vendor Response (written narrative here):**				
DN 1.3.4-02	**Assignment History Table of Supervision Officers to a Case** This table in a Supervision case contains the history of Supervision officers on a case, with the date of the officer's assignment to the case, and the ending date of the assignment. **Vendor Response (written narrative here):**				

1.4 Search and Manage Documents

Business Capability Description

Supervision Department staff search and manage documents in supervision cases.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.4-01	**Display of Documents attached to Court Events and Supervision Case Events in Supervision Register of Actions (ROA)** For a court or Supervision case number, a list of the documents associated with that case, and a hyperlink to the document image. **Vendor Response (written narrative here):**				
AC 1.4-01	**Search Text of Documents** Ability to search the full text of a document. **Vendor Response (written narrative here):**				
AC 1.4-02	**Link Documents in a Case** Ability to record the relationship between two Case Documents in the same Case. E.g. Case Document 1 is a version of Case Document 2. **Vendor Response (written narrative here):**				
AC 1.4-03	**"Send" Case Documents to Another Case** A. Ability for a Case to "send" one or more Case Documents to another Case where they become Case Documents in the other case. B. The "copy" Case Document in the recipient Case points to the original Case Document in the sending Case. **Vendor Response (written narrative here):**				
DN 1.4-01	**Document Type and Metadata** A Case Document has a document type (e.g.: letter, email, report, etc.), associated with the document type are required metadata (e.g.: for a letter: date, author, recipients, title, etc.), of any format docx, xls, png, etc. **Vendor Response (written narrative here):**				

1.5 Generate Documents

Business Capability Description

Supervision Department staff generates and files a variety of kinds of documents.

Business Rules

BR 1.5-01 Permission to Text Persons under Supervision

Persons receiving SMS text messages must consent to notification by this means because it may cost the recipient. (Short Message Service (SMS) is a text messaging service component of phone, Web, or mobile communication systems.)

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.5-01	**Document Template List Report** This is a list of document templates with date of last update, version number **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.5-01	**Document Generation** Generate documents by merging case management system data with word processing templates. **Vendor Response (written narrative here):**				
AC 1.5-02	**Template Maintenance** Add, modify, and otherwise maintain the templates and boilerplate language required to support the document generation capability. **Vendor Response (written narrative here):**				
AC 1.5-03	**E-Mail Messages** Generate e-mail notifications (e.g., receipt of document) according to business rules governing the process. **Vendor Response (written narrative here):**				
AC 1.5-04	**SMS Messages** Generate SMS notifications according to business rules governing the process. **Vendor Response (written narrative here):**				
DN 1.5-01	**Document Template Table** This table contains document templates by court division or clerk function, with template name, date of last update, version number. **Vendor Response (written narrative here):**				

2 Maintain Pretrial, Adult Probation and Juvenile Probation Case History

2.1 *Maintain Party/ Participant Data*

Business Capability Description

Enable entry and updating of information for parties and participants, including addresses, demographics, contact info, interpreter needed, organizational affiliation – and a history of information entries.

Business Rules

BR 2.1-01 Criteria to Merge/ Un-Merge Names

Probation policy may provide the criteria for merging person records.

RD 2.1-01	**Person Data Display** 1. For a person, show the following data fields, with the most current entry at the top of each list: a. Name (Last Name, First Name, Middle Name, Suffix) b. Address (Type Dropdown: Mail, Residence, Legal), Date Entered) c. E-mail Address (Type Dropdown: Home, Cell, Work 1, Work 2, Other), Date Entered, Primary checkbox d. Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), Date Entered, and Primary checkbox				

	e. Alias(es) f. Gender g. Age h. Date of Birth i. Social Security Number j. REGGO (Race, Ethnicity, Gender, Geography and Offense) k. Complexion l. Eye Color m. Height n. Weight o. Hair p. Facial hair q. Primary language r. Religion s. Scars, Marks, Tattoos, Piercings t. Special Requirements 2. Display current Address first, then addresses in address history. 3. Display all individuals with the same Address, Email Address or Phone Number. 4. Display all Case Numbers with the Party ID attached. **Vendor Response (written narrative here):**				
RD 2.1-03	**Configuration of a Detailed Party/ Participant Screen** Enable configuration of a detailed party/ participant screen for displaying a person's multiple occurrences of personal information with date/ time stamp: a. Case roles and case numbers b. Amounts owed: Running total of criminal fines, court cost, and community service. This applies for the running total of all civil monies owed. c. Arrest warrants d. Bail posted and case numbers e. Probation status and supervising officer f. Custody status, location, and place of residence g. Person-based alerts h. Aliases i. Addresses j. Cell/ landline numbers k. Personal identifiers l. E-mail address(es) **Vendor Response (written narrative here):**				
RD 2.1-04	**Party/ Participant Address History Report** For a date range, display a list of the addresses and associated dates of a party/ participant. **Vendor Response (written narrative here):**				
AC 2.1-01	**Update Person and Organization Information** For a person or organization, enable the user to update any information and add data to history of the record (e.g., alias, address, phone, email), with date/ time of update and user ID. **Vendor Response (written narrative here):**				

AC 2.1-02	**Merge and Un-Merge Person Records** Enable identification and merger of multiple person records for the same individual, and to un-merge them if an error is discovered – see **BR 2.1-1 Criteria to Merge/ Un-Merge Names.** **Vendor Response (written narrative here):**				
AC 2.1-03	**Flag Invalid and Confidential Addresses** Flag an address for such persons as juveniles and victims with a status of confidential (e.g., permanent, designated date to expire), or address no longer valid. **Vendor Response (written narrative here):**				
AC 2.1-04	**Mass Attorney Reassignment** Perform mass reassignment of attorney caseload by updating the attorney of record or by assigning cases to an office (e.g., public defender) on a single screen or in a single transaction. **Vendor Response (written narrative here):**				
AC 2.1-05	**Mail to Multiple Addresses of Party** Ability to send a notice for a single party to multiple addresses. **Vendor Response (written narrative here):**				
AC 2.1-06	**Language Interpretation Needs** Manually enter data that a party needs an interpreter, and the language involved, by turning on **DN 2.1-8 Interpreter Needed Flag** and automatically turn on an alert – see **RP 1.3.2-1 (j) Person-Level Status Alert Examples - Interpreter Needed**. Same as Application Capability under **5.9 Provide Language Interpretation**. **Vendor Response (written narrative here):**				
AC 2.1-07	**Index External Agency Numbers** Record all numbers used by external organizations (e.g., jail, prosecutor, law enforcement) so that cases can be retrieved with those numbers. **Vendor Response (written narrative here):**				
AC 2.1-08	**Handle Invalid Addresses** System must block mailings to invalid addresses, but allow overrides. **Vendor Response (written narrative here):**				
AC 2.1-09	**Organizations as Parties in a Case** Enter the name of an organization as a party, e.g., corporations, partnerships, DBAs (individuals "doing business as" an unincorporated company), and units of government. **Vendor Response (written narrative here):**				
AC 2.1-10	**Party Search of Persons Affiliated with an Organization-Party** Associate one or more persons with an organization, enabling a party search to return the names of persons involved in the case, including the following: For corporation, registered agent, officers and employees For partnerships, partners and employees For DBAs, owners and employees For units of government, officials and employees				

	Vendor Response (written narrative here):				
AC 2.1-11	**Bonding Company Information** Accept information about bonding companies and their attorneys. **Vendor Response (written narrative here):**				
AC 2.1-13	**Update Person/ Case Status Alerts** Enable a user to manually update a case/ person status (see **RD 13.3-04 Person/Case Status Alerts**) with the following security-related alert values: • Hostile • Violent tendencies • Gang-affiliated • Gun-related • Gross sexual GSI • No-contact orders • Pickup order **Vendor Response (written narrative here):**				
DE 2.1-01	**Defendant Information Update Notification** This data exchange sends attorney information updates from the Supervision case management system to the Clerk, when a defendant's address has changes, including the defendant's new address, and identifying descriptions including FBI and SID numbers. **Vendor Response (written narrative here):**				
DE 2.1-03	**Custody Status** This data exchange receives custody status of a defendant/ juvenile from the jail/ detention management system. **Vendor Response (written narrative here):**				
DN 2.1-01	**Structured Name Fields** Provide discrete fields for first name, last name, middle initial, suffix (i.e., Sr., Jr., III), and title; hyphenated Hispanic patronymic and matronymic surnames, aliases (AKAs), doing business as (DBAs), and corporate names **Vendor Response (written narrative here):**				
DN 2.1-02	**Structured Address Fields** Provide data structures for both mailing addresses (for communications) and street address **Vendor Response (written narrative here):**				
DN 2.1-03	**Formatted Vehicle and Party Information** Provide data storage for formatted information about vehicles and property, just as it does for people associated with cases. These descriptions should be separate from the case structure so they can be associated with multiple cases. **Vendor Response (written narrative here):**				
DN 2.1-04	**Multiple Telephone Numbers** Enter and maintain multiple phone numbers and extensions for an individual and link those numbers to a location (address), and include numbers that may not be				

	associated with an address. **Vendor Response (written narrative here):**				
DN 2.1-05	**Telephone Number Types** Specify telephone number types and mark primary contact numbers. **Vendor Response (written narrative here):**				
DN 2.1-06	**Interpreter Needed Flag (Limited English Proficiency)** The default value of this data field is 'off' (English proficient) for a party and is updated (turned 'On') when the judge orders an interpreter to be used to communicate with a party. **Vendor Response (written narrative here):**				
DN 2.1-07	**Interpreter Needed for Language** This list of languages is used as a drop-down list for the clerk to select the language a party needs interpretation for. **Vendor Response (written narrative here):**				

2.1.1 Manage Party/ Participant Relationships

Business Capability Description

Probation staff identify relationships between parties, and between parties and case participants.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.1-01	**Party and Participant Relationship Display** For any person, display the related parties and participants with the type of relationship. **Vendor Response (written narrative here):**				
RD 2.2.1-02	**Party Relationship Report** For a given case, and for a date range, display the other parties and other cases in which they are parties. **Vendor Response (written narrative here):**				
RD 2.2.1-03	**Party-Participant Relationship Report** For a given case in which a person is a party or participant, and for a date range, display the other participants. **Vendor Response (written narrative here):**				
AC 2.2.1-01	**Participant Roles** Enable configuring any number of participant roles (e.g. attorney, case worker, guardian ad item, child representative, interpreter) and relationships (e.g. attorney/client, mother/child, caseworker/client, court-appointed special advocates (CASA)), which may be assigned to participants in the case records. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.1.1-02	**Create Relationships** Create two-way relationships of any type between any parties and participants. **Vendor Response (written narrative here):**				
AC 2.1.1-03	**History of Party/ Participant Relationships** Maintains a history of parties'/ participants' relationships in each case. This creates links that can be followed for system actions, i.e., providing an attorney mailing address for a system-generated document for a particular party. **Vendor Response (written narrative here):**				
AC 2.1.1-04	**Family ID** Enable assigning an involved juvenile and siblings with the Family ID of the mother. **Vendor Response (written narrative here):**				

2.1.2 Economic Status (Indigence)

Business Capability Description

Supervision officers may collect information on the economic or financial status of defendants/ youth, and provide this information to the court. If the court determines that a person is indigent, it will enter an order to that effect and the person record will be tagged as "Indigent."

Business Rules

Court policy requires that defendants must provide written affidavits or certificates as to assets and liabilities when they request appointment of counsel.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.1.2-01	**Indigent Party Report** For a date range, a listing of defendants/ youth determined to be indigent by the court, showing person name, date, case number, case type/ subtype. **Vendor Response (written narrative here):**				
AC 2.1.2-01	**Collect Financial Information** Supervision officers collect economic or financial information of defendants/ youth, enter that status on the person record as of that date, and attach an electronic copy of the affidavit or certificate to the Supervision Register of Actions entry. **Vendor Response (written narrative here):**				
DE 2.1.2-01	**Indigent Status Flag** The Supervision CMS receives data from the Court/Clerk CMS for the Indigence Status Flag of defendants/ youth entered after a judge determines that a party is indigent. **Vendor Response (written narrative here):**				

2.1.3 Insurance

Business Capability Description

Supervision officers may collect information on the insurance status of defendants/ youth, and use this information to help determine what resources or treatment are available through insurance and can be applied for a person.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.1.3-01	**Collect Insurance Information** Supervision officers collect information on insurance of defendants/ youth, enter that status on the person record as of that date, and attach an electronic copy of an insurance card to the Supervision Register of Actions entry. **Vendor Response (written narrative here):**				

2.2 Maintain Supervision Case History

Business Capability Description

The Supervision Department views a Supervision case summary with information about the case, including multiple supervisions which may be concurrent or consecutive.

BR 2.2-01 Multiple Supervision Cases at the Same Time

1. The CMS must allow a client to be able to be placed in multiple supervisions at one time with different Supervision officers (i.e., a client is ordered to Supervision by Adult Probation Department and also by the Pretrial-Presentence Department).
2. Supervision cases must be able to have different dispositions with different supervision start and end times for each supervision module. It is also possible for clients to have cases in multiple courts at the same time.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2-01	**Supervision Case Display** For a date range display the following information for each Supervision Case (see **DN 2.2-01 Supervision Case History Table**) 1. Supervision Case Number 2. Case Data (Booking Number, Case Number, Judge, Defendant, DOB, Sex, Race, RID) 3. Charge Data 4. Supervision History Data a. Supervision Staff Assigned (list of values) b. Current Supervision Status (Dropdown: Open, Absconder, Completed, Death, Jurisdiction, New Violation, Revoked, Vacated) c. Supervision Begin Date (calendar pop-up) d. Supervision End Date (calendar pop-up) e. Supervision Type radio buttons (Dropdown: Informal, Formal, ISP (Intensive Supervision Supervision), Pretrial) f. Agency (list of values TBD)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	g. Date of Arraignment h. Conditions set by the court **Vendor Response (written narrative here):**				
DN 2.2-01	**Supervision Case History Table** This table contains data (see **RD 2.2-01 Supervision Case Display**) for each instance of Supervision for a defendant/ youth. **Vendor Response (written narrative here):**				

2.2.1 Supervision Register of Actions (Supervision ROA)

Business Capability Description

The Supervision Department views the history of a Court case, AKA Court Register of Actions (Court ROA), i.e., events which occur in the case (minutes of court proceedings), filed documents, and financial events in the case. In addition, Supervision views the Supervision ROA, containing Supervision-specific information and events, which no one outside of the Supervision office is able to see.

Business Rules

BR 2.2.1-01 Manage Supervision Register of Actions (Supervision ROA)

Department rules may require that only employees of the Supervision Department can access and update information in the Supervision ROA.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.1-01	**Court Events in Supervision Register of Actions (Supervision ROA)** Display all elements of the Court ROA for a case in the Supervision ROA, showing all events, documents filed by parties and participants, orders, and other activities, with drill-down clicking to documents, minute entries, etc. **Vendor Response (written narrative here):**				
RD 2.2.1-01	**Case Information Filtered Display** Filter Court and/or Supervision case information to see one or both. See 3.1 View Case Data and Events **Vendor Response (written narrative here):**				
AC 2.2.1-01	**Supervision Case Events** Ability to record one or more Case Events in the Supervision ROA where an Event is something that happens or take place, using a coded entry: • Defendant appeared for an office visit • Defendant was positive/ negative on a drug test • Defendant/ Youth enrolled in a program • Victim Identified in Case • Victim Restitution Submitted to Court **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.1-02	**Filter ROA Entries** Provide view/filter of entries in the Register of Actions of a case by date, type (Dropdown: Events, Documents, Financial Entries). **Vendor Response (written narrative here):**				
AC 2.2.1-03	**Flexible Viewing Screens** Provide screens configurable to a user role to display information about a case, (i.e., a user may want to have all information on an individual or case on one screen, with customized blocks or tabs of information, some visible at all times and others available by selecting a tab to show the data) **Vendor Response (written narrative here):**				
AC 2.2.1-04	**Defendant Local Criminal History** Provide screens to view all court cases in which a person is a defendant, and cases in which a person has other involvements **Vendor Response (written narrative here):**				
AC 2.2.1-05	**Search the Court and Supervision ROA** Search the Court and the Supervision Register of Actions for a particular document, documents filed on a particular date, and other elements. **Vendor Response (written narrative here):**				
AC 2.2.1-06	**Text Search Minute Entries** Perform a text search on minute entries (within a case or across cases). **Vendor Response (written narrative here):**				
AC 2.2.1-02	**Attach Documents to Supervision Case** Attach case-related documents to the Supervision case (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Supervision cases. **Vendor Response (written narrative here):**				
AC 2.2.1-03	**Delete Documents from Supervision Case** Enable a user to delete documents from the Supervision case. **Vendor Response (written narrative here):**				
DE 2.2.1-01	**Import Court Case Data to Populate Supervision Case** This data exchange imports charge and defendant data from the court case to populate the Supervision case: (all fields mandatory) 1. Court Case Number 2. Last Name, First Name, Middle Initial, Suffix 3. DOB 4. Charges 5. Address (including address history) 6. Date of Court Case Initiation 7. Case Type: Offense Class: (Dropdown: list of values). 8. Case Status: (Dropdown: Open, Closed, Warrant) 9. In Custody (Yes/No)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	10. Conditions 11. Date of Disposition, if applicable **Vendor Response (written narrative here):**				
DN 2.2.1-01	**Supervision Appointments Table** For a case this table contains Appointment Type and Duration, with a total of durations, with add and delete capability. **Vendor Response (written narrative here):**				
DN 2.2.1-02	**Supervision Events Table** For a case this table contains Event Description, Deadline Date, Status, Status Date, with Add, Delete, Find Item and Find Next Item capability. **Vendor Response (written narrative here):**				
DN 2.2.1-03	**Supervision Case Confidential Register of Actions** A log of case events of a Supervision case, recording the date/ time of the events at different stages of the case (filterable by stage): assessment, intake, compliance, discharge. Drop-down choices of log entries include specified dropdown box choices. **Vendor Response (written narrative here):**				

2.2.2 Linked Cases

Business Capability Description

Courts link cases for reference or administrative purposes, i.e., see what cases are linked to other cases, identified for scheduling hearings for different cases at the same time. Courts link cases in three different relationships: related cases, associated cases, and consolidated cases. The Supervision Department tracks how cases are linked.

The Juvenile Probation Department tracks linked juvenile cases of the following case types:

- Delinquency
- Unruly, Status Offenses
- Dependency, Abuse, Neglect
- Parentage
- Youth Support
- Divorce
- Contributing to Delinquency of Minor
- Related Adult Cases

Business Rules

BR 2.2.2-01 Related (Traveling-With, Companion) Cases

Court policy identifies **<Related Cases>** as case involving a single party (same defendant) which the judicial officer wants in court at the same time, without consolidation.

BR 2.2.2-02 Associated (Co-Defendant) Cases

Court policy identifies <**Associated Cases>** as case involving co-defendants from the same offense or

incident, separate criminal cases filed for each defendant. The prosecutor is prosecuting them in separate trials.

BR 2.2.2-03 Consolidated (Merged) Cases

Court policy identifies <**Consolidated Cases>** as cases involving the same parties and issues, unifying them into a single action resulting in a single judgment or, sometimes, in separate judgments.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.2-01	**Linked Cases Display** When a case is retrieved, display cases which are related, associated or linked with it by the court, showing for each of the related cases including the following fields: a. Relationship (Dropdown: Related, Associated, Consolidated) b. Case Number c. Defendant/ Youth Name d. Linked Case Type (Dropdown: Delinquency, Unruly, Status Offenses, Dependency, Abuse, Neglect, Parentage, Youth Support, Divorce, Contributing to Delinquency of Minor, Related Adult Cases) e. Linked Case Status f. Title/ Charge g. Amended Title h. Plea/ Disposition i. Finding **Vendor Response (written narrative here):**				
AC 2.2.2-01	**Related Cases** Select cases involving a single party for linking in the Supervision CMS as related cases. **Vendor Response (written narrative here):**				
AC 2.2.2-02	**Associated Cases** Select cases involving co-defendants from the same offense or incident for linking in the Supervision CMS as associated cases. **Vendor Response (written narrative here):**				
AC 2.2.2-03	**Consolidated Cases** Select cases involving the same parties and issues, unifying them in the Supervision CMS into a single action as consolidated cases. **Vendor Response (written narrative here):**				
AC 2.2.2-04	**Associated but Confidential Cases** Associate juvenile or order of protection cases that are connected to the same respondent or children, allowing access to view linked cases only by judicial officers, court administrative staff, and Supervision Department staff (which would otherwise disclose confidential information). **Vendor Response (written narrative here):**				
AC 2.2.2-05	**Single Data Entry in Multiple Linked Cases** Enable initial and subsequent entries to be applied to each case, defendant, party, or participant in the linked relationship, with a single entry. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.2-06	**Unlink Cases** Enable related, associated and consolidated cases to be unlinked in the Supervision CMS on demand. **Vendor Response (written narrative here):**				

2.2.3 Supervision Case Notes

Business Capability Description

The Supervision Department enters case notes not visible to anyone outside the department, and juvenile Supervision case notes are not visible outside Juvenile Court.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.3-01	**Supervision Case Note Display** Each case note in chronological order (or filtered to reverse order) contains the Contact Type (Dropdown: Defendant/ Youth Interview, Victim Interview, Hearing, No-show, Email, Phone call), Date/Time Entered, Entered-by Name, Date Modified (if any), and Modified-By Person (if any). **Vendor Response (written narrative here):**				
AC 2.2.3-01	**Enter Supervision Case Note** Enable creating case notes, the date and time created, in a text box or by selecting a Contact Type (Dropdown: Witness Interview, Victim Interview, Deposition, Hearing, No-show, Email, Phone call), and deleting, printing, and forwarding them. **Vendor Response (written narrative here):**				
AC 2.2.3-02	**Case Notes in Multiple Cases** Ability for an author to create one or more Case File notes for a Case Event where the Case File note can be part of more than one case; e.g. linked cases. **Vendor Response (written narrative here):**				
AC 2.2.3-03	**Editing Case Notes** Ability for the author of a submitted Case File note to edit it, which creates a new version of the case File note. **Vendor Response (written narrative here):**				
AC 2.2.3-04	**Filter and Reorder Case Notes** Ability to view all Case File notes in reverse chronological order and filter on topic, author, date etc. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.3-05	**Group Events** Enable an author to create Case Notes for a Case Event where the Case File note can be part of multiple Supervision cases to record a group event. **Vendor Response (written narrative here):**				
AC 2.2.3-06	**Search Case Notes** Ability to search Case Notes by field: Contact Type, Date/Time Entered, Entered-by Name, Date Edited (if any), and Edited-By Person (if any). **Vendor Response (written narrative here):**				
AC 2.2.3-07	**Attach Documents to Supervision Case Note** Attach case-related emails and documents of Document Type (Dropdown: Attendance, Compliance), to the Supervision case of Document Format (Dropdown: email, electronic documents, audio/ video files), viewable only with permission to access Supervision Case Notes. **Vendor Response (written narrative here):**				

2.2.4 Attach Documents to Case

Business Capability Description

Supervision attaches documents to the Supervision case that it generates and gathers in the course of performing Supervision functions. For generation of documents, see **1.5 Generate Documents**.

Business Rules

Supervision documents related to an event must be attached to a Supervision ROA entry.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.4-01	**Attach Documents to Supervision Case** Attach case-related documents to the Supervision case (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Supervision cases, with an entry on the Supervision ROA. See **DN 2.2.4-01 Saved Supervision Documents History Table**. **Vendor Response (written narrative here):**				
AC 2.2.4-02	**Delete Attached Documents from Supervision Case** When a document has been attached to the case, the Delete button becomes active. If a document is deleted, automatically generate a Supervision ROA entry, indicating the user, what document was deleted, and the date and time of deletion. See **DN 2.2.4-01 Saved Supervision Documents History Table**. **Vendor Response (written narrative here):**				
AC 2.2.4-03	**Attach Document to Relevant Supervision ROA Entry** Enable attaching a filed document to a Supervision Register of Actions Entry related to the document. Also see **1.3 Enter/ Import Criminal and Juvenile Defendant Information**.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 2.2.4-04	**Drag & Drop Attachment to ROA Entry** Enable a user to drag & drop received documents/attachments directly to ROA entry. **Vendor Response (written narrative here):**				
DN 2.2.4-01	**Saved Supervision Documents History Table** For a case this table displays the Document Name, Created By (Dropdown: User, Work Station) and Created Date of any documents that have been scanned into the case or attached to the case. **Vendor Response (written narrative here):**				

2.2.5 Maintain Releases and Waivers

Business Capability Description

Supervision keeps releases and waivers on file to support legal releases of information and permissions.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.5-01	**Make Supervision ROA Entry of Receipt of Signed Release or Waiver** 1. Make Supervision ROA entry of receipt of signed release or waiver. 2. Scan document and attach to Supervision ROA entry. 3. Create a tickler for the expiration date of a release. 4. Enter a Case Note for the agencies covered by the release or waiver. **Vendor Response (written narrative here):**				

2.2.6 Redact Sensitive Information

Business Capability Description

Supervision on occasion needs to redact sensitive information from a document before disclosing it.

Business Rules

[Cite rule requiring redaction of sensitive information]

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.6-01	**Automated Recognition of Information to be Redacted** Enable a user to submit a document to be automatically redacted for such kinds of information as SSN, DOB, and identify information that is candidate for redaction, for manual review. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

2.2.7 Case Tasks

Business Capability Description

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.7-01	**Case Task Display** For all cases assigned to a Supervision Department staff member, for a date range, display all Case Tasks, Task Description, Date Requested, Date Completed, Comments. **Vendor Response (written narrative here):**				
AC 2.2.7-01	**Create a Case Task** Ability to create one or more Case Tasks. **Vendor Response (written narrative here):**				
AC 2.2.7-02	**Assign Case Task** Ability to assign a Case Task to self or another user known as, e.g. the Case Task "Doer" **Vendor Response (written narrative here):**				
AC 2.2.7-03	**Due Date of Task** Ability to set a due date for a Case Task causing the Doer to be reminded of the Task at the appropriate time and the Case Task Author to be notified if the Case Task is overdue. **Vendor Response (written narrative here):**				
AC 2.2.7-04	**Change Due Date of Case Task** Ability for the Case Task Author to change the due date of the Case Task. **Vendor Response (written narrative here):**				
AC 2.2.7-05	**“Doer” Change Due Date of Case Task** Ability for the Case Task Doer to change the due date for the Case Task and notify the Case Task Author (if different) of the change. **Vendor Response (written narrative here):**				

2.2.8 Perform/ Import Assessment Results

Business Capability Description

The assessment process helps Supervision Department staff identify risk levels and need levels to report to the court or to enroll defendants’/ youth in appropriate programs. Assessment instruments are used for drug addition, alcohol addiction, mental health issues, sex offender

issues, and others. Also see **4.3 Perform Juvenile Assessment and Case Planning** for specialized juvenile requirements.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.8-01	Enable the user to generate a report by date range of relevant assessments. **Vendor Response (written narrative here):**				
RD 2.2.8-02	Provide a list of upcoming assessments required due to scheduled re-assessment, program completion, or court action. Vendor Response (written narrative here):				
AC 2.2.8-01	**Configure an Objective Assessment Tool** Enable the user to configure an objective assessment tool with questions and scoring of responses. **Vendor Response (written narrative here):**				
AC 2.2.8-02	**Conduct Assessment** Enable the user to assess or reassess an defendant/ youth based on the outcome of assessments and the special needs of the defendant/ youth. **Vendor Response (written narrative here):**				
AC 2.2.8-03	Enable the user to perform an assessment with an off-the-shelf assessment tool and import the results. **Vendor Response (written narrative here):**				
AC 2.2.8-04	Enable user authorized staff to override the assessment. **Vendor Response (written narrative here):**				
AC 2.2.8-05	Enable the user to automatically schedule a re-assessment based on a pre-determined interval schedule, disciplinary action, program completion, or court action. There should be an ability to override these dates. **Vendor Response (written narrative here):**				
AC 2.2.8-06	Enable the assessment officer or counselor to view previous defendant/ youth information required for assessment activities, without having to go to a different module to look at information. **Vendor Response (written narrative here):**				
AC 2.2.8-07	Enable the configuration to include various assessment levels followed by the department without the need for programming. **Vendor Response (written narrative here):**				
AC 2.2.8-08	Maintain a complete history of all assessment activity on a defendant/ youth, across multiple bookings/ intakes. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.8-09	Enable the user to track checks for warrants and for the Sex Offender Registry. **Vendor Response (written narrative here):**				
AC 2.2.8-10	Enable the user to develop a case plan related to risks and needs identified in the assessment. **Vendor Response (written narrative here):**				

2.2.9 Facilitate Record Retention/ Destruction/ Expungement

Business Capability Description

The Pretrial-Presentence, Adult Probation and Juvenile Probation departments observe retention rules governing how long case records must be kept, and procedures for destroying records. The Supervision CMS assists Supervision Department staff in managing record retention and destruction, and expungement. For investigation on an expungement application, see **8.4 Expungement Application Investigation**.

Business Rules

BR 2.2.9-01 Records Retention Schedules

Rules of Superintendence Rule 26.03, General, Domestic Relations, and Juvenile Divisions of the Courts of Common Pleas Records Retention Schedule specifies holding periods for records in the General Division and Juvenile Division. Case have retention schedules based on case type.
ORS 2151.358 Expungement of Sealed Records provides for expungement of juvenile court convictions.
Ohio Revised Code Sections 2953.32, 2953.31 and 2953.33-2953.36 provide for expungement of adult convictions.

Process Activities

1. Identify records that are candidates for destruction
2. Obtain management approval of destruction of records
3. Mass-update Supervision ROA of cases in which records are destroyed

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.9-01	**Report of Cases which are Candidates for Destruction** For a given date and case type, show the case number and defendant/ youth name of cases eligible for destruction based on time since disposition. See **DN 2.2.9-01 Table of Record Retention Schedules by Case Type.** **Vendor Response (written narrative here):**				
DN 2.2.9-01	**Table of Record Retention Schedules by Case Type** This table contains record retention schedules by case type according to **BR 2.2.9-01 Records Retention Schedules**. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

2.3 Program Referrals

Business Capability Description

The Supervision Department uses assessment to help determine what program(s) a defendant/ youth should be referred to. Program staff tracks progress, completion and termination of program activities. (For drug testing, see **6.9 Monitor Drug Testing**; for electronic monitoring, see **6.10 Maintain Electronic Monitoring**.)

Juvenile Probation refers youth to the following programs:

a. Access to Visitation (Mediation Agreement)
b. CITE Community Integration and Training for Employment
c. Community Detention
d. Community Treatment Center
e. Crossover
f. Detention Intake
g. Domestic Violence / FVIP Programming
h. Domestic Violence Problem Solving Court
i. Family Drug Court
j. Juvenile Detention Alternatives I - Traditional and Deep End
k. Juvenile Drug Court
l. Juvenile Treatment Court /Reclaiming Futures
m. Mediation
n. Pathways to Success Initiative
o. Placements of Youth (to original home, foster care, or independent living arrangement)
p. Reentry Treatment Center
q. Sex Offender Treatment

Adult Probation refers defendants to the following programs:

a. Day Reporting, Orientation
b. STOP Sobriety through Other People
c. Mentally Disordered Offenders Treatment
d. Sexual Offender Treatment
e. Nonsupport Initiatives
f. Community Service
g. Incarceration Diversion

Pretrial-Presentence refers defendants to the following programs:

a. Mental Health (Harbor Behavioral, Unison, Zepf, Central Access, Rescue Mental Health Services, CD&T, Lucas County Board of Developmental Disabilities, TASC)
b. Substance Abuse (TASC, New Concepts, COMPASS, Arrowhead Behavioral Health,

Renewed Mind, Glenbeigh ACMC Healthcare System, Central Access)

c. Lucas County Electronic Monitoring
d. Lucas County Work Release
e. Correctional Treatment Facility

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.3-01	Program Service Provider Information Display 1. Service Provider level information: Service Provider Name, Address, Address2, City, State, Zip, Phone, Fax 2. Service Type: (Dropdown: add list at implementation) 3. Contact: Name, Phone with Extension, email **Vendor Response (written narrative here):**				
RD 2.3-02	For a date range, display a list of defendants/ youths and program referrals, with case number, filtering by program status (Dropdown: Expressed an interest in a program, Referred to a program, Investigated, Office Check-in, No-show, Active, Moved, AWOL, Left the Program, Completed), Date Enrolled, Date Completed, Date Terminated, Successful/ Unsuccessful. **Vendor Response (written narrative here):**				
RD 2.3-03	For a specific defendant/ youth for a date range, display program participation history, filtered by current Supervision case or all Supervision cases, including program name, Supervision case initiation date, offense/ degree, referral date, current status, date of disposition. **Vendor Response (written narrative here):**				
AC 2.3-01	Enable staff to document for defendants/ youths the dates assessed, program entry date, and end date. **Vendor Response (written narrative here):**				
AC 2.3-02	Allow staff to input pre- and post- test results in order to track progress. **Vendor Response (written narrative here):**				
AC 2.3-03	Enable Supervision to assign a defendant/ youth to a program/ schedule and automatically send a notification to staff responsible for the program. **Vendor Response (written narrative here):**				
AC 2.3-04	Enable staff to enter an defendant/ youth into an appropriate wait list for a program (educational/vocational, rehabilitative, medical, skill development, and work) if that program is currently full. **Vendor Response (written narrative here):**				
AC 2.3-05	Enable staff to schedule the defendants/ youths for the duration of the program as soon as the defendant/ youth is assigned to a specific program. **Vendor Response (written narrative here):**				
AC 2.3-06	Enable staff to create and modify program participant lists to ensure that defendants/ youths are not being double-booked into programs and other				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
	activities taking place at the same time. **Vendor Response (written narrative here):**				
AC 2.3-07	Enable staff to transition the defendant/ youth to the next phase of the program upon completion of one phase of a multi-phase program. **Vendor Response (written narrative here):**				
AC 2.3-08	Provide mechanism for designated staff to cancel or suspend a program(s) at any time for a definite or indefinite period of time as deemed appropriate by management. **Vendor Response (written narrative here):**				
AC 2.3-09	Enable staff to assign a Supervision officer or counselor to each defendant/ youth based on pre defined rules for a program. **Vendor Response (written narrative here):**				
AC 2.3-10	Enable the Supervision officer or counselor to record notes about their interaction with each defendant/ youth. **Vendor Response (written narrative here):**				
AC 2.3-11	Program Progress Case / Log Notes Enable a Supervision officer or counselor to record case notes about their interaction with defendant/ youth, the Date/ Time created, User ID, Program Status (Dropdown: Referred, Received, Assigned for Assessment, Pending, Active, Inactive, Terminated, Successful, Unsuccessful), by selecting a Case Note Type (Dropdown: Meeting, Incident, Drug test, Hearing, Refer to Program, Level Achieved, Investigation, AWOL, Left the Program, Completed the Program, Surveillance Notes), with free text entry, and deleting, printing, and forwarding them. **Vendor Response (written narrative here):**				
AC 2.3-12	Enable staff to track and award points to defendants/ youths who are enrolled in a program and demonstrate compliance by achieving goals. **Vendor Response (written narrative here):**				
AC 2.3-13	Enable staff to document/record participation at external facilities. **Vendor Response (written narrative here):**				
AC 2.3-14	Automatically create an alert when defendant/ youth fails to attend a predefined number of scheduled programs and/or classes. **Vendor Response (written narrative here):**				
AC 2.3-15	Provide alerts/notifications to designated staff for disciplinary reports or program terminations. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.3-16	Program Participation Termination Case Notes Enable a Supervision officer or counselor to record case notes about outcomes and termination of participation by an defendant/ youth in a program, with the date and time created, user ID, in a text box or by selecting an Outcome/ Termination Type (Dropdown: list of values TBD), with free text entry, and deleting, printing, and forwarding them. **Vendor Response (written narrative here):**				
AC 2.3-17	Group Program Events Enable an author to create Case Notes for a Case Event where the Case Note can be part of the record of more than one defendant/ youth to record a group event. **Vendor Response (written narrative here):**				
AC 2.3-18	Editing Program Case Notes Ability for the author of a submitted Case Note to edit it, which creates a new version of the Case Note. **Vendor Response (written narrative here):**				
AC 2.3-19	Filter and Reorder Program Case Notes Enable a user to view all Case Notes for a defendant/ youth in reverse chronological order and filter on Case Note Type, author, date, etc. **Vendor Response (written narrative here):**				
AC 2.3-20	Search Program Case Notes Ability to search Case Notes by field: Case Note Type, Date/Time Entered, Entered-by Name, Date Edited (if any), and Edited-By Person (if any). **Vendor Response (written narrative here):**				
AC 2.3-21	Attach Documents to Program Case Note Attach case-related documents of Document Type (Dropdown: Assessment, Attendance, Compliance), to the defendant/ youth record of Document Format (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Case Notes. **Vendor Response (written narrative here):**				
AC 2.3-22	Enable the Supervision officer, counselor, and other staff to review the history of interactions of that staff person with any specific defendant/ youth. **Vendor Response (written narrative here):**				
AC 2.3-23	For an defendant/ youth enrolled in an education program, track the following kinds of information: • Exchange of information with public schools • Assignments and completion • Milestones/ levels achieved • Books checked out • Education specialist assigned **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.3-24	Enable program staff to create programs and program schedules. **Vendor Response (written narrative here):**				
AC 2.3-25	Search Service Provider Name Enter partial or full name of Service Provider to retrieve existing Service Provider data. **Vendor Response (written narrative here):**				
AC 2.3-26	Enter New Service Provider Enter new Service Provider information (see **RD 2.3-01 Service Provider Information Display**), and check one or more checkboxes identifying type of provider: (Configure list at implementation: Community Service, Seminar, Counseling. **Vendor Response (written narrative here):**				
AC 2.3-27	E-Mail Messages – Reminders to Defendants/ Youths Generate e-mail notifications (e.g., reminder) according to business rules governing the process. **Vendor Response (written narrative here):**				
AC 2.3-28	SMS Text Messages – Reminders to Defendants/ Youths Generate SMS text notifications (e.g., reminder) according to business rules governing the process. **Vendor Response (written narrative here):**				

2.4 Track Results of Supervision Officer Hearings/ Decisions

Business Capability Description

Supervision officers track office decisions in Supervision cases in the Supervision Register of Actions (Supervision ROA).

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.4-01	**Enter Supervision Office Decisions in Case ROA** Enable users to enter the following events into the Supervision ROA: a. Violations b. Change of Disposition c. Amend orders d. Make parents involved e. Sex offense registration - levels **Vendor Response (written narrative here):**				

2.4.1 Determine Restitution Obligation from Economic Loss

Business Capability Description
Prosecution initially gathers information about a victim's economic loss and makes this information available to a Supervision investigator who verifies and includes it in the presentence investigation report.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.4.1-01	**Record Victim Economic Loss in Probation Case Notes** 1. Enable the user to record notes on economic loss in Probation Case Notes 2. Attach documentation of economic loss (e.g., receipts, medical reports) 3. Print or email Case Notes to Prosecution on demand **Vendor Response (written narrative here):**				

2.5 Record Searches

2.5.1 Record Request

Business Capability Description
The Supervision Department receives requests for public records by phone, in person, or in an email or letter, and responds to them within a "reasonable" period of time. Some requests are handled by the court Clerk's office. Juvenile Probation handles requests from Job Corps, the military, state or federal probation, and from the media.

Some Supervision case information cannot legally be disclosed, so record requests may be partially responded to and partially denied.

Business Rules
BR 4.5-01
ORC 149.43 [Effective Until 3/20/2015] Availability of public records for inspection and copying.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.5-01	**Public Record Request Display** For a date range, display the public records requests received with the following information: a. Records Request Reference Number b. Date of Request c. Date of Initial Response d. Type of Response (Dropdown: Acknowledged, Denied, Under Review) e. Requester Choice for Receipt (Dropdown: Pick-up, Delivery, Transmission) f. Name of Requester g. Requester Address h. Requester Phone i. Requester Email Address j. Type of Records Requested k. Cost l. Date Notified Requester of Records Availability m. Date of Actual Delivery **Vendor Response (written narrative here):**				
AC 4.5-02	**Respond to Request for Public Records** Enable the user to respond to record requests: a. Obtain access to information requests b. identify documents requiring redaction c. Redact non-disclosable information d. Send information, return receipt requested **Vendor Response (written narrative here):**				

2.6 *Collect Financial Obligations*

Business Capability Description

Probation officers monitor payment of fines, costs and restitution by defendants/ youths.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.6-01	**Case/ Person Financial Obligations Display** As of a given date, for a specific case or defendant/ youth, display the balance owed of fines, costs and restitution. **Vendor Response (written narrative here):**				
RD 2.6-02	**Financial Obligations by Probation Officer** As of a given date, for a specific probation officer, display the cases supervised by the officer, defendant/ youth name, and the balance owed of fines, costs and restitution. **Vendor Response (written narrative here):**				

3 Initiate Adult Pretrial Supervision Case

3.1 Enter/ Import Jail Booking Intake Information for Pretrial Supervision Case

Business Capability Description

After an adult suspect has been booked at the jail, Pretrial Supervision Department staff creates a Supervision case by entering the Booking Number and other data. This Supervision case data and case-related documents is exported to the Court/Clerk CMS to populate the Court case when the Clerk initiates. This action sets a trigger in the Court/Clerk CMS to export or expose data and documents to the Court/Clerk CMS into the Supervision case as court events are documented in the Court/Clerk register of actions.

For displays of Supervision case data, see **RD 2.2-01 Supervision Case Display** and **DN 2.2-01 Supervision Case History Table**.

Events from the Court/Clerk CMS Register of Actions (ROA) are imported to the Supervision case. See **2.1.1 Import Court Events from Court/Clerk CMS**, such as Prosecution Diversion, Courtesy Supervision, Request for PSI Report, and Sentencing, as the case progresses.

Business Rules

BR 3.1-01 Criminal Case Start Date

Ohio Court Statistical Reports Definitions define criminal cases in which a person is charged with violation of a state law or local ordinance other than a traffic law or ordinance. For purposes of tracking the age of the case for these reports, the case begins at arraignment.

BR 3.1-02 Multiple Supervision Cases at the Same Time (same as **BR 2.2-01**)

1. The CMS must allow a client to be able to be placed in multiple supervisions at one time with different Supervision officers (i.e., a client is ordered to Supervision by Adult Probation Department and also by the Pretrial-Presentence Department).
2. Supervision cases must be able to have different dispositions with different supervision start and end times for each supervision module. It is also possible for clients to have cases in multiple courts at the same time.

Process Activities

1. File Complaint ("Transcript") with Clerk, who assigns a Criminal case number
2. Supervision initiates a Supervision case

Req. #	Requirement	Response Code			Estimated Hours to Customize
DE 3.1-01	**Import Jail Booking Data to Populate Criminal Supervision Case** This data exchange imports charge and defendant data from the jail booking to populate the Supervision case: (all fields mandatory) 1. Court Case Number 2. Last Name, First Name, Middle Initial, Suffix 3. DOB 4. Charges 5. Address (including address history) 6. Date of Court Case Initiation				

Req. #	Requirement	Response Code			Estimated Hours to Customize
	7. Case Type: Offense Class: (Dropdown: list of values). 8. Case Status: (Dropdown: Open, Closed, Warrant) 9. Date of Disposition, if applicable **Vendor Response (written narrative here):**				
DE 3.1-02	**Enable Viewing of Court Cases** Interface with Court/Clerk CMS to view or import court case data and documents. **Vendor Response (written narrative here):**				
AC 3.1-01	**Attach Documents to Supervision Case** Attach case-related documents to the Supervision case Register of Actions (ROA) (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Supervision cases. See also **15.5 Track Evidence** and **15.2.3 Attach Documents Related to the Supervision Case**. **Vendor Response (written narrative here):**				
AC 3.1-02	**Delete Documents from Supervision Case** Enable a user to delete documents from the Supervision case Register of Actions (ROA). **Vendor Response (written narrative here):**				

3.2 Assign Pretrial-Presentence Officer/ Staff to Case

Business Capability Description

The Pretrial-Presentence Department assigns a Pretrial/ Booking Release officer to a case according to rules designed to equalize workload, and appropriate to equalization of workload of Pretrial-Presentence Officers. See **1.3.4 Assign Case to Supervision Officer.**

3.3 Assess Risk/Make Bond Recommendation

Business Capability Description

The Pretrial-Presentence Department interviews a suspect booked into the jail, runs a criminal history, screens for substance abuse, and verifies information with a friend or relative of the suspect. They also make bond recommendations on many cases. They may use an assessment instrument – see **2.2.8 Perform/ Import Assessment Results** to recommend the level of pretrial supervision needed.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.3-01	**Record Pretrial Booking/ Release Data** Enable the user to enter data related to pretrial booking/ release in the Supervision case, including interview notes, summary of criminal history, screening results for substance abuse, and notes on verification of information with a friend or relative of the suspect.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 3.3-02	**Generate Pretrial Booking/ Release Report** Enable the user to use the assessment in **2.1.9 Perform/ Import Assessment Results** to report the level of supervision needed. Also see **1.5 Generate Documents**. **Vendor Response (written narrative here):**				
AC 3.3-03	**Schedule Court Date (Non-Violent Offenses)** Enable user to view court calendar in multiple courtrooms (user choice) of the court division of choice, and schedule court date for initial appearance in selected courtroom. **Vendor Response (written narrative here):**				
AC 3.3-04	**Document Agreement and Conditions** Enable the user to prepare a release document with conditions of release, populating it from the Supervision case, and transmit it to any of multiple courtrooms (user choice) of the court division of choice. **Vendor Response (written narrative here):**				
AC 3.3-05	**Bond Reports to Courtrooms** Enable the user to transmit bond reports to any of multiple courtrooms (user choice) of the court division of choice. **Vendor Response (written narrative here):**				
DE 3.3-01	**Export Pretrial Booking/ Release Report to Court/Clerk CMS** Enable the user to export the report to the court case in the Court/Clerk CMS. **Vendor Response (written narrative here):**				

3.3.1 Screen for Adult Diversion

Business Capability Description

Pretrial Supervision screens cases for entry into a diversion program, and identifies them as diversion cases if the Prosecution agrees. See **7.8 Monitor Compliance with Conditions of Diversion, Unofficial Case, Restitution**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.3.3-01	**Diversion Status and History Report/Display** For a date range list the cases on diversion status (see **DN 3.3.3-01 Diversion Status Flag**), showing Name, Case Number, Date of Diversion,				
AC 3.3.3-01	**Identify Defendant/ Respondent as Diversion Status** 1. Enable the user to turn on/off **DN 5.3.1 Diversion Status Flag** when the Prosecution authorizes diversion. 2. Record grant of Diversion Status in Supervision ROA.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
DN 3.3.3-01	**Diversion Status Flag** This flag when turned on indicates the person is on diversion status. **Vendor Response (written narrative here):**				

4 Initiate Unofficial or Official Juvenile Referral/ Intake

Business Capability Description
Youth are referred to the Juvenile Probation Department from a number of sources. A youth may be referred by law enforcement, by a school, or by other agencies in the community. Probation staff makes an initial determination what course the referral should take.

Juvenile Intake involves several functions for the Juvenile Court. This unit handles the following:

- Unofficial complaints
- First offense shoplifting cases
- Tobacco violations
- Arraignments on official status and domestic violence charges
- Unofficial hearings for intervention and diversion purposes
- The Intake magistrates are available twenty-four hours a day, seven days a week, to respond to law enforcement's requests for admissions to the Detention Center.

Intake includes oversight of Diversion Services programming and supervision of juveniles placed on community control for status offenses, an act that would not be illegal if committed by an adult. Community control officers contacted the families, identified issues, and made referrals to appropriate community services. These youth were provided supervision and an opportunity for additional Court services.

4.1 Enter/ Import Juvenile Referral/ Intake Information

Business Capability Description
Juvenile Probation receives referrals/ intakes from a variety of sources, for a range of conduct, from unruly behavior to delinquency:

- Schools
- Parents
- Law Enforcement

For managing the relationships of the youth, see **2.1.1 Manage Party/ Participant Relationships**.

For displays of Supervision case data, see **RD 2.2-01 Supervision Case Display** and **DN 2.2-01 Supervision Case History Table**.

Business Rules

BR 4.1-01 Multiple Supervision Cases at the Same Time (same as **BR 2.2-01**)

1. The CMS must allow a client to be able to be placed in multiple supervisions at one time with different Supervision officers (i.e., a client is ordered to Supervision by Adult Probation Department and also by the Pretrial-Presentence Department).
2. Supervision cases must be able to have different dispositions with different supervision start and end times for each supervision module. It is also possible for clients to have cases in multiple courts at the same time.

AC 4.1-01	Identify Role of Person in a Case After conducting a search in **1.2 Criminal and Juvenile Case History Search**, enable the user to update the Supervision case with co-defendants, parent/ guardian information, victim(s), to specify the role of the youth in the current referral. **Vendor Response (written narrative here):**				
AC 4.1-02	Mass Data Entry for Multiple Youths Enable the user to create a shell case when multiple youths are in intake/ referral, which can be completed later. **Vendor Response (written narrative here):**				

4.2 Manage Youth in Detention

Business Capability Description

Youths are brought to the juvenile detention facility when they are suspected of committing serious offenses. Responsibility for the youth is shared by Juvenile Court, Juvenile Probation and Juvenile Detention, both pre- and post- detention hearing.

Process Activities

1. Monitor detention time
2. Pre- and post-hearing, secure or non-secure facility
3. Release Youth if detention not warranted or required
4. Determine if interpreter needed
5. Complete interpreter form
6. Schedule detention hearing
7. File notice of detained Youth with clerk
8. Notify parents
9. Close out placement when Youth released

Req. #	Requirement	Response Code			Estimated Hours to Customize
RD 4.2-01	Defendant/ Youth Custody Report For a date range, a listing of defendants/ youth determined to be in custody, showing person name, date, case number, case type/ subtype. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
DN 4.2-02	Defendant/ Youth In-Custody Flag The Supervision CMS receives data from the Jail/ Detention JMS for the Custody Flag of defendants/ youth entered after a judge determines that a party should be remanded to custody. **Vendor Response (written narrative here):**				
AC 4.2-01	Monitor Time in Detention Enable the user to track deadlines and perform procedural steps according to time standards. See **6.3.5 Ensure Juvenile Detention Hearings Held within Statutory Timeframes**. **Vendor Response (written narrative here):**				
AC 4.2-02	Pre- and post-hearing, secure or non-secure facility Conduct risk assessment to determine whether secure or non-secure facility is required. See **4.3 Perform Juvenile Assessment and Case Planning**. **Vendor Response (written narrative here):**				
AC 4.2-03	Determine if interpreter needed Determine need for interpreter, See **6.3.4 Request Interpreter**. **Vendor Response (written narrative here):**				

4.3 Perform Juvenile Assessment and Case Planning

Business Capability Description

Using the capabilities of section **2.1.9 Perform/ Import Assessment Results**, perform juvenile-specific assessments and develop case plans based on results of risk assessments performed.

4.3.1 Ohio Youth Assessment System (OYAS)

Business Capability Description

Supervision officers and staff use the Ohio Youth Assessment System (OYAS) tools to assess for diversion, detention, disposition, residential, and reentry. The tools also assist staff with developing effective case plans that target the appropriate criminogenic needs while fully addressing any barriers that the youth may face.

Business Rules

Department policy sets time standards for administration of the OYAS.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.4.1-01	**Manage Assessments and Case Plan Updates According to Time Standards** Provide ticklers to enable users to conduct OYAS assessment within time guidelines, and record results in the Supervision case: 1. Pre-screen within 3 days 2. Full OYAS within 6 days if moderate or high risk result 3. Reassess at least every six months, or when significant change **Vendor Response (written narrative here):**				
AC 4.4.1-02	**Update the Supervision ROA with the Date and User ID for Assessment Activities** a. Explain OYAS to parents and youths b. Review with family and obtain signatures c. Administer instrument and record results in CMS -- document answers to questions d. Complete case plan and sign e. Supervisor review of case plan f. Place/ scan summary sheet in file **Vendor Response (written narrative here):**				
DE 4.4.1-01	**Import OYAS Assessment** Enable the user to download assessment results and case plan. **Vendor Response (written narrative here):**				

4.3.2 Mental Health Assessment (GAIN Short Screener)

Business Capabilities

Supervision officers and staff use the Global Appraisal of Individual Needs (GAIN) Short Screener to identify persons as having one or more behavioral health disorders (e.g., internalizing or externalizing psychiatric disorders, substance use disorders, or crime or violence problems), which suggests the need for referral to some part of the behavioral health treatment system.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.4.2-01	**Update the Supervision ROA with the Date and User ID for Mental Health Assessment Activities** a. Administer instrument and record results in CMS -- document answers to questions b. Administer MASI or record waiver of the assessment c. If caution level, record all actions taken in the ROA d. If warning level, recommend mental health treatment -- notify parents, verbally and in writing e. If parents unwilling to act, complete an abuse and neglect form, fax form to social services f. Notify therapist if youth already in treatment g. Document possible false positive scores				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	h. Document second screening scores -- Only on scales with warning or caution i. Route copy to supervisor **Vendor Response (written narrative here):**				

4.3.3 Sex Offender Evaluation and Registration

Business Capability Description

Juvenile Probation evaluates youth to determine if sex offender classification is necessary.

Business Rules

ORC R.C. 2152.83(B), Senate Bill 10

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.4.2-01	**Update the Supervision ROA with the Date and User ID for Sex Offender Evaluation and Registration Activities** a. Administer instrument and record results in CMS -- document answers to questions b. Record if sex offender evaluation recommends registration c. At disposition, recommend evaluation and treatment d. Notify family of registration requirement e. Instruct youth to report to LEA for registration f. Contact LEA to ensure registration completed g. Obtain releases from DJS and AG and forward documentation to DJS **Vendor Response (written narrative here):**				

4.3.4 Assign Juvenile Probation Officer to Case

Business Capability Description

The Juvenile Probation Department assigns a Probation Officer to a case according to rules designed to equalize workload, and appropriate to risk assessment level of the Probation Officers. See **1.3.4 Assign Case to Supervision Officer.**

4.3.5 Conduct Ongoing Staffing

Business Capability Description

The Juvenile Probation Department internally staffs cases, either formal or informal. Family drug court cases are formal staffings. Results are recorded in the Supervision ROA. They may be scheduled on the Supervision calendar – see **6.3.1 Schedule Appointments**.

4.3.6 Release/ Detain Decision

Business Capability Description

The Juvenile Probation Department interviews a youth who is a candidate for detention, runs a criminal history, screens for substance abuse and mental health issues, and verifies information

with a parent or relative of the youth. They may use an assessment instrument – see **2.2.8 Perform/ Import Assessment Results** to recommend the level of supervision or detention needed.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.3.6-01	**Record Intake/ Referral Release Data** Enable the user to enter data related to Pre-Adjudication intake/ referral in the Supervision case, including interview notes, summary of criminal history, screening results for substance abuse, and notes on verification of information with a friend or relative of the suspect. **Vendor Response (written narrative here):**				
AC 4.3.6-02	**Generate Pre-Adjudication Intake/ Referral Report** Enable the user to use the assessment in **2.1.9 Perform/ Import Assessment Results** to report the level of supervision needed. Also see **1.5 Generate Documents**. **Vendor Response (written narrative here):**				
AC 4.3.6-03	**Schedule Court Date for Detention Hearing** Enable user to view court calendar and schedule court dates for a detention hearing. **Vendor Response (written narrative here):**				
AC 4.3.6-04	**Document Agreement and Conditions** Enable the user to prepare a release document with conditions of release, populating it from the Supervision case. **Vendor Response (written narrative here):**				
DE 4.3.6-01	**Export Pre-Adjudication Intake/ Referral Report to Court/Clerk CMS** Enable the user to export the report. **Vendor Response (written narrative here):**				

4.3.7 Level and Type of Services Needed

Business Capability Description

The Juvenile Probation Department prepares a case plan after performing an assessment – see **2.1.9 Perform/ Import Assessment Results**.

4.3.8 Language Interpretation Needs

Business Capability Description

The Juvenile Probation Department determines if an interpreter is needed – see **6.3.4 Request Interpreter**.

4.4 Provide Juvenile Mediation Services

Business Capability Description

Supervision screens cases for entry into a Juvenile Mediation program, and tracks compliance with conditions.

Process Activities

PA 4.4-01 Process for Preparing for and Conducting Juvenile Mediation

1. Schedule Mediation
2. Prepare for Mediation – notify other participant(s)
3. Conduct Mediation
4. Dispose of Mediation Case
5. Magistrate Review/ Approval

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.4-01	**View Calendar of Future/ Past Juvenile Mediation Events** For a date range and choice of attorney, display a calendar of Court and Supervision events, showing mediator, parties, case numbers, case type, case status, filterable on any parameter. **Vendor Response (written narrative here):**				
RD 4.4-02	**View a Chronological List of Juvenile Mediation Events.** Ability to view a chronological list of Juvenile Mediation events. **Vendor Response (written narrative here):**				
AC 4.4-01	**Schedule Juvenile Mediation Appointments** Schedule a Next Appointment Date / Time, Appointment Type and Duration, add Events (Dropdown: Deadline Date), add entry to Supervision ROA, add to Officer's Outlook calendar, and set up tickler based on Next Appointment. (See **DN 4.6-01 Supervision Events Table** **Vendor Response (written narrative here):**				
AC 4.4-02	**Create Future Juvenile Mediation Event** Ability to create a future Juvenile Mediation Event and record the scheduled start date and time, and end date and time, location and invited participants, event type and description. **Vendor Response (written narrative here):**				
AC 4.4-03	**Record Whether Accept or Decline Future Event** Ability to record whether invited Juvenile Mediation Event participants accepted or declined the invitation to a scheduled event **Vendor Response (written narrative here):**				
AC 4.4-04	**Set Up Appointment Tickler** Enable the user to set up a tickler when scheduling a Juvenile Mediation appointment. **Vendor Response (written narrative here):**				
AC 4.4-05	**Record Actual Juvenile Mediation `Event** Ability to convert a scheduled Juvenile Mediation Event into a Case Note by recording actual start date and time, and end date and time, location, attendees, event type and description. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.4-06	**Attach Document to Juvenile Mediation Event** Ability to attach one or more Case Documents to a Case Event. See **2.1.5 Attach Documents to Case.** **Vendor Response (written narrative here):**				
AC 4.4-07	**Create a Supervision Case Event when a Document is Sent or Received** Ability to automatically create a Supervision Case Event when a document is sent or received with the Case Event being the transmission of the Case Document. **Vendor Response (written narrative here):**				
DN 4.4-01	**Supervision Juvenile Mediation Events Table** For a case this table contains Event Description, Deadline Date, Status, Status Date, with Add, Delete, Find Item and Find Next Item capability. **Vendor Response (written narrative here):**				
DN 4.4-02	**Supervision Juvenile Mediation Appointments Table** For a case this table contains Appointment Type and Duration, with a total of durations, with add and delete capability. **Vendor Response (written narrative here):**				

5 Juvenile – Determine Appropriate Action/ Staffing

Business Capability Description

Supervision may internally staff cases to identify best course of action in a Criminal or Juvenile case.

- Staffing with supervisor or more staff
- Review nature of offense, prior offenses and prior offenses of a similar nature, prior probation, and denial/admission of offense

Process Activities

1. Record the results of the staffing in the Supervision ROA and Case Notes.

5.1 Screen for Juvenile Services

5.1.1 Screen for Juvenile Mediation

Business Capability Description

Supervision screens cases for entry into a Juvenile Mediation program. If mediation is appropriate, see **4.4 Provide Juvenile Mediation Services**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.1-01	**Juvenile Mediation Status and History Report/Display** For a date range list the cases on Juvenile Mediation status (see **DN 5.1.1 Juvenile Mediation Status Flag**), showing Name, Case Number, Date of Juvenile Mediation,				
AC 5.1.1-01	**Identify Defendant/ Respondent as Juvenile Mediation Status** 1. Enable the user to turn on/off **DN 5.1.1 Juvenile Mediation Status Flag.** 2. Record grant of Juvenile Mediation Status in Supervision ROA. **Vendor Response (written narrative here):**				
AC 5.1.1-02	**Identify Defendant/ Respondent as Juvenile Mediation Successful Completion Status** As a Supervision Case Event to the Supervision ROA as "Successful Completion of Juvenile Mediation." **Vendor Response (written narrative here):**				
DN 5.1.1-01	**Juvenile Mediation Status Flag** This flag when turned on indicates the person is on Juvenile Mediation status. **Vendor Response (written narrative here):**				

5.1.2 Prescreen for Juvenile Diversion

Business Capability Description

Supervision screens cases for entry into a diversion program, and tracks compliance with conditions.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.2-01	**Diversion Status and History Report/Display** For a date range list the cases on diversion status (see **DN 5.3.1 Diversion Status Flag**), showing Name, Case Number, Date of Diversion,				
AC 5.1.2-01	**Identify Defendant/ Respondent as Diversion Status** 1. Enable the user to turn on/off **DN 5.3.1 Diversion Status Flag.** 2. Record grant of Diversion Status in Supervision ROA. **Vendor Response (written narrative here):**				
AC 5.1.2-02	**Notify of Diversion Status** Generate a notice to the victim(s) that a youth has been granted diversion. **Vendor Response (written narrative here):**				
AC 5.1.2-03	**Identify Defendant/ Respondent as Diversion Successful Completion Status** As a Supervision Case Event to the Supervision ROA as "Successful Completion of Diversion." **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 5.1.2-01	**Diversion Status Flag** This flag when turned on indicates the person is on diversion status. **Vendor Response (written narrative here):**				

5.2 Proceed with Unofficial Case

Business Capability Description

An unofficial case means that a juvenile will not have a permanent juvenile record. A juvenile under the age of eighteen with a first-time minor offense has only one opportunity to have a case heard as an unofficial case. The juvenile may be represented by an attorney during an unofficial hearing, although it is not necessary. A case can only be heard unofficially if the juvenile admits the charge.

Process Activities

PA 5.2-01 Process for Preparing for and Conducting an Unofficial Hearing

1. Contact and demographic information collected
2. Inform parties of rights by reviewing pertinent laws
3. Notify youth of driving consequences of admission
4. Schedule hearing and notify family
5. Notify victim and request restitution information
6. Generate waivers and unofficial hearing agreement
7. Conduct unofficial hearing
8. Parental consent to agreement for unofficial hearing - checkboxes
9. Obtain admission or denial – denial stops the unofficial case process
10. Completion of agreement via signatures and copies
11. Notify victim of disposition

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2-01	**Track Time Standard for Conducting Unofficial Hearing** Create a tickler for conducting an unofficial hearing. **Vendor Response (written narrative here):**				
AC 5.2-02	**Perform and Document Process Steps Leading to and Conducting Unofficial Hearing** Perform the steps in **PA 5.2-01 Process for Preparing for and Conducting an Unofficial Hearing** and record them in the Supervision ROA **Vendor Response (written narrative here):**				

5.2.1 Agreement and Conditions for Conduct and Control of Youth

Business Capability Description

Juvenile Probation staff may refer cases out for services including community service, diversion

programs, mental health or drug and alcohol counseling and/or treatment, work groups, individual and family counseling, restitution, and victim-offender mediation.

The service provider to which a youth and family is referred, reports back to Juvenile Probation regarding the cooperation, success or failure of the Youth and family so that the case may be closed or moved on for further action, as appropriate.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2.1-01	**Track Time Standards for Treating and Monitoring Performance of Youth** Create a series of ticklers for tracking time restrictions and conditions of treating and monitoring youth. **Vendor Response (written narrative here):**				
AC 5.2.1-02	**Perform and Document Case Plans and Programs for Treating and Monitoring Performance of Youth** Implement case plans and programs for treating and monitoring youth, and record them in the Supervision ROA: a. Safety plan for DV allegation b. Sex offender treatment (SOT) c. Detention d. DUI fine e. Sobriety program f. Evaluations g. Treatment programs h. Restitution i. Community service **Vendor Response (written narrative here):**				

5.2.2 Transfer Referral

Business Capability Description

Juvenile Probation staff determines the residence of the youth and decides where the referral should be addressed. The youth may live elsewhere but commits an offense locally - send to the youth's home county. Juvenile Probation may conduct an unofficial hearing locally, but the disposition is transferred to the youth's home county.

Process Activities

PA 5.2.2-01 Transfer Referrals Out or In

1. Determine residency of the youth – if the youth lives elsewhere but committed an offense locally - send the referral to the home county
2. If the Department takes jurisdiction, it may conduct the hearing locally, but the disposition goes to home county
3. Referrals transferred in (both intrastate and interstate) - track whether accept or not -
4. Provide permission under appropriate circumstances when the youth seeks to leave the state

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2.2-01	**Determine Referral Transfer Issue** Determine whether the youth's adjudication and disposition will be retained in the county or transferred to a youth's home county, and record the determination in the Supervision ROA: **Vendor Response (written narrative here):**				

5.3 Refer to Prosecutor

Business Capability Description

Juvenile Probation reviews cases and recommends to the Prosecution that some cases should become official juvenile cases. They youth may have failed to comply in an unofficial case. The referral may be a more serious offense; DOT points cases, vehicular and negligent homicide, and second and subsequent DUI must be processed formally.

PA 5.3-01 Steps for Referring Juvenile Supervision Case to the Prosecution

1. Staff cases with prosecutor if unable to serve party
2. Review question as to whether youth was driving vehicle
3. Monitor to ensure petition filed in a timely manner
4. Document the referral, victim statement, restitution request, etc.
5. Send materials to prosecutor
6. Place copy of petition in file and CMS

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.3-01	**Track Process of Filing Official Juvenile** Enable the user to document process steps in the Supervision ROA. **Vendor Response (written narrative here):**				
DE 5.3-01	**Export Official Supervision Case Data to Prosecution CMS** **Vendor Response (written narrative here):**				

5.3.1 Close File or Further Action If Prosecutor Declines

Business Capability

The Juvenile Probation Department, after referring a case to the Prosecution who declines to prosecute, closes the Supervision case file.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.3.1-01	**Close Juvenile Supervision Case if Prosecutor Declines** 1. Enable a user to change the status of the Supervision case to "Closed." See Case Status (Dropdown: Closed, Open, Warrant, Post-Disposition). 2. Enter change of status in Supervision ROA. 3. Scan and attach copy of Prosecution decision to the Supervision ROA entry. **Vendor Response (written narrative here):**				

5.4 Take No Action

Business Capability

The Juvenile Probation Department declines to take action, after reviewing a referral, closes the Supervision case file.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.4-01	**Close Juvenile Supervision Case if Juvenile Probation Decides to Take No Action** 1. Enable a user to change the status of the Supervision case to "Closed." See Case Status (Dropdown: Closed, Open, Warrant, Post-Disposition). 2. Enter change of status in Supervision ROA. 3. Scan and attach copy of Probation decision to the Supervision ROA entry. **Vendor Response (written narrative here):**				

6 Supervise Defendant/ Youth

6.1 Maintain Supervision Case History

See **2.2.1 Supervision Register of Actions (Supervision ROA)**

6.2 Enter Supervision Case Notes

See **2.2.3 Supervision Case Notes**

6.3 Refer Defendants/ Youths to Service Providers/ Programs

See **2.3 Program Referrals**

6.4 Schedule Supervision Case Events (Appointments, Program Services)

6.4.1 Schedule Appointments

Business Capability Description

Supervision Department staff schedules case events (e.g., appointments, program services, classes, counseling for clients).

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.4.1-01	**View Calendar of Future/ Past Events** For a date range and choice of attorney, display a calendar of Court and Supervision events, showing attorneys, parties, case numbers, case type, case status, filterable on any parameter. **Vendor Response (written narrative here):**				
RD 6.4.1-02	**View a Chronological List of Case Events.** Ability to view a chronological list of Case Events. **Vendor Response (written narrative here):**				
AC 6.4.1-01	**Schedule Supervision Appointments** Schedule a Next Appointment Date / Time, Appointment Type and Duration, add Events (Dropdown: Deadline Date), add entry to Supervision ROA, add to Officer's Outlook calendar, and set up tickler based on Next Appointment. (See **DN 6.4.1-01 Supervision Events Table**). **Vendor Response (written narrative here):**				
AC 6.4.1-02	**Create Future Case Event** Ability to create a future Case Event and record the scheduled start date and time, and end date and time, location and invited participants, event type and description. **Vendor Response (written narrative here):**				
AC 6.4.1-03	**Record Whether Accept or Decline Future Event** Ability to record whether invited Case Event participants accepted or declined the invitation to a scheduled event **Vendor Response (written narrative here):**				
AC 6.4.1-04	**Set Up Appointment Tickler** Enable the user to set up a tickler when scheduling an appointment. **Vendor Response (written narrative here):**				
AC 6.4.1-05	**Record Actual Case Event** Ability to convert a scheduled Case Event into a Case Note by recording actual start date and time, and end date and time, location, attendees, event type and description. **Vendor Response (written narrative here):**				
AC 6.4.1-06	**Attach Case Document to Case Event** Ability to attach one or more Case Documents to a Case Event. See **2.1.5 Attach Documents to Case.** **Vendor Response (written narrative here):**				
AC 6.4.1-07	**Create a Case Event when a Document is Sent or Received** Ability to automatically create a Case Event when a document is sent or received with the Case Event being the transmission of the Case Document. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 6.4.1-08	**Supervision Events Table** For a case this table contains Event Description, Deadline Date, Status, Status Date, with Add, Delete, Find Item and Find Next Item capability.				

6.4.2 Track Internal Deadlines

Business Capability Description

The Supervision Department tracks deadlines in Supervision cases to achieve certain goals (e.g., writing of an apology letter to a victim performing community service), or merely the passage of time. It also creates ticklers to advise staff of an upcoming deadline, and notifications to case participants if certain circumstances occur. See **11.2 Use the Case Status to Trigger Actions**.

6.4.3 Request Transport

Business Capability Description

The Supervision Department requests transport by law enforcement when it is needed.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.4.3-01	Request Transport of Defendant or Youth Enable the user to send a notification to an appropriate party to schedule transport. **Vendor Response (written narrative here):**				

6.4.4 Request Interpreter

Business Capability Description

The Supervision Department requests an interpreter when it recognizes that staff cannot communicate with a defendant/ youth.

Req. #	Requirement	Response Code			Estimated Hours to Customize
AC 6.3.4-11	Language Interpretation Needs Manually enter data that a party needs an interpreter, and the language involved, by turning on **DN 6.3.4-8 Interpreter Needed Flag** and automatically turn on an alert. **Vendor Response (written narrative here):**				
DN 6.3.4-8	Interpreter Needed Flag (Limited English Proficiency) The default value of this data field is 'off' (English proficient) for a party and is updated (turned 'On') when the judge or orders or Supervision determines the need for an interpreter to be used to communicate with a party. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
DN 6.3.4-9	Interpreter Needed for Language This list of languages is used as a drop-down list for the clerk to select the language a party needs interpretation for. **Vendor Response (written narrative here):**				

6.4.5 Ensure Juvenile Detention Hearings Held within Statutory Timeframes

Business Capability Description

The Juvenile Probation Department monitors statutory deadlines for conducting detention and other hearings, and other deadlines of a Supervision case, including the following:

a. Detention: 24 hours
b. Shelter care: 96 hours
c. Petition hearing: 30 days, if child in detention
d. Petition hearing: 30 days if child in shelter care
e. Findings: 60 days Detention: 24 hours
f. Shelter care: 96 hours
g. Petition hearing: 30 days, if child in detention
h. Petition hearing: 30 days if child in shelter care
i. Findings: 60 days

See the use of ticklers and notifications in See **11.2 Use the Case Status to Trigger Actions**.

6.5 Monitor Check-In/ Contact Log and Non-Reporting

Business Capability Description

As part of supervision, the Supervision Department maintains a record of check-ins and missed check-ins in the Supervision ROA. See **2.2.1 Supervision Register of Actions (Supervision ROA)**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.5-01	**Check-in Report** For a data range, for a Supervision officer, show the cases with Check-In Obligation Type (Dropdown: kiosk, phone-in, office visit), client name, date, filterable by Check-In Obligation Type. **Vendor Response (written narrative here):**				
DE 6.5-01	**Interface with NORIS Kiosk** Enable defendants/ youth to perform their contact obligations via kiosk, including a fingerprint scanner, card reader, camera, scanner (for AA slips, check stubs), and transmit this data to the Supervision CMS. **Vendor Response (written narrative here):**				

6.5.1 Monitor Custody Status

Business Capability Description

Supervision officers monitor custody status of defendants/ youths on supervision. There are booking sheets from the jail, and the possibility of automated interfaces.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 6.5.1-01	**Import Custody Status from Jail Management System** Release from the jail and booking trigger a change of custody status in the Supervision CMS. **Vendor Response (written narrative here):**				
DE 6.5.1-02	**Import Custody Status from Juvenile Detention Management System** Release from the juvenile detention and intake trigger a change of custody status in the Supervision CMS. **Vendor Response (written narrative here):**				

6.6 Conduct Field Visits

Business Capability Description

Supervision officers conduct field visits and home visits in monitoring some defendants/ youths.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
TI 6.6-01	**Access to Supervision CMS via Smartphone and Tablet Computer** Enable the user to access the Supervision CMS via smartphone and tablet computer. **Vendor Response (written narrative here):**				

6.7 *Messaging to Notify/ Remind Defendants*

Business Capability Description

Supervision officers notify defendants/ youths to remind them of Supervision and court events.
See **1.5 Generate Documents** which includes email and SMS text communications.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
TI 6.7-01	**Interactive Voice Response (IVR) Interface** Provide an interface for Supervision officers to generate phone messages to phones of defendants/ youths, including voice recognition of persons answering the phone to verify the intended person received the message. **Vendor Response (written narrative here):**				

6.8 Monitor Compliance with Conditions of Diversion, Unofficial Case, Restitution

Business Capability Description
Supervision officers track compliance with conditions by defendants/ youths and record them in the Supervision ROA (see **2.1.2 Supervision Register of Actions**); they report violations to the court.

6.8.1 Technical Violations

Business Capability Description
Supervision officers track technical violations of conditions by defendants/ youths by recording them in the Supervision ROA (see **2.1.2 Supervision Register of Actions**), and reporting violations to the court.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.8.1-01	**Notify of Violations in Multiple Cases with Single User Action** Enable the user to update the Supervision CMS of violations in two cases, as where a defendant/ youth is under supervision in two cases with different judges (with different start and end dates and conditions), under one Supervision officer, and generate a report for each judge– see **AC 2.2.2-05 Single Data Entry in Multiple Linked Cases** **Vendor Response (written narrative here):**				

6.8.2 New Offense Violations

Business Capability Description
Supervision officers report new offense violations to Court Administration who dockets a hearing on violation of conditions of supervision in the appropriate courtroom.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.8.2-01	**Report New Offense Violation** a. Route violation to supervisor for review b. When approved, notify Court Administration of a new offense violation, including case number, defendant/ youth, and nature of the violation. **Vendor Response (written narrative here):**				

6.8.3 Financial Obligations

Business Capability Description
Probation officers monitor payment of financial obligations by defendants/ youths (child support, restitution) to the Clerk of Court, and report violation of conditions to the court.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.8.3-01	**Set up Payment Plan for Defendant/ Youth** Enable the user to generate a payment plan – see **1.5 Generate Documents.** **Vendor Response (written narrative here):**				
AC 6.8.3-02	**Generate Cognovit Note - Promise To Pay** Enable the user to generate a cognovits note – see **1.5 Generate Documents.** **Vendor Response (written narrative here):**				

6.8.4 Record Notice of Compliance

Business Capability Description

Supervision officers notify the Prosecution of compliance with conditions of diversion after the deadline for successful completion has passed.

Req. #	Requirement	Response Code			Estimated Hours to Customize
AC 6.8.4-01	**Identify Defendant/ Respondent as Diversion Successful Completion Status** 1. Document a Supervision case event to the Supervision ROA as "Successful Completion of Diversion." 2. Notify the Prosecution of completion of diversion. **Vendor Response (written narrative here):**				

6.9 Monitor Drug Testing

Business Capability Description

The Centralized Drug Testing (CDT) Unit takes urine samples for drug testing.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.9-01	For a date range, for an agency, generate a billing statement for drug tests performed, showing the following data: Date the Sample was Left, Test Date, Number of individuals, Number of Tests Performed Cost per Test Group, Daily Total, Cumulative Total. **Vendor Response (written narrative here):**				
AC 6.9-01	Establish a schedule for drug testing for a defendant/ youth, including the type of substance tested: a. Urine drug screen (Dropdown: Amphetamine, Barbiturate, Benzodiazepine, BUP, Cannabinoid, Cocaine, Ethyl Alcohol, Heroin, Opiate, Oxy, Phencyclidine, Special ETG) b. Breathalyzer **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.9-02	Enable the user to record for an defendant/ youth the results of testing for substances at a date/time, with user ID: a. Urine drug screen (Dropdown: Amphetamine, Barbiturate, Benzodiazepine, BUP, Cannabinoid, Cocaine, Ethyl Alcohol, Heroin, Opiate, Oxy, Phencyclidine, Special ETG) b. Breathalyzer c. Field test **Vendor Response (written narrative here):**				
AC 6.9-03	Enable the user to submit an incident report, including lack of compliance with substances conditions, with notification to staff assigned to the defendant/ youth. **Vendor Response (written narrative here):**				
AC 6.9-04	Record for each substance test, the Client Name, RID, Social Security Number, Probation Officer, Agency, Drugs to be Tested For: a. Urine drug screen (Dropdown: Amphetamine, Barbiturate, Benzodiazepine, BUP, Cannabinoid, Cocaine, Ethyl Alcohol, Heroin, Opiate, Oxy, Phencyclidine, Special ETG) b. Breathalyzer **Vendor Response (written narrative here):**				
AC 6.9-05	Attach lab results to the record of the client tested, with verification information of RID, Social Security Number, Probation Officer. **Vendor Response (written narrative here):**				
AC 6.9-06	Attach Financial Agreement of the client tested, with verification information of RID, Social Security Number, Probation Officer. **Vendor Response (written narrative here):**				
DE 6.9-01	Import drug test results from WinTox into Supervision CMS by identifying ID (e.g., RID, SSN, case number). **Vendor Response (written narrative here):**				

6.10 Maintain Electronic Monitoring (EM)

Business Capability Description

Supervision officers monitor defendants/ youth via electronic monitoring.

6.10.1 Enroll

Business Capability Description

Supervision officers enroll adult defendants in EM with financial arrangements, and youth without financial obligation.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.10.-01	Defendants/ Youths in EM Program For a date range, show a list of persons, case numbers, start date, end date, type of EM equipment, restriction type (Dropdown: list of values TBD) **Vendor Response (written narrative here):**				
AC 6.9.3-02	Enable a user to set up an account for electronic monitoring of a defendant/ youth, including the following terms: a. Financial terms: installation fee, ongoing fee per day/ week/ month b. Restrictions/ permissions on movements **Vendor Response (written narrative here):**				

6.10.2 Electronic Monitoring Results Reports

Business Capability Description

Supervision officers review EM results at EM provider website, update Supervision ROA, and report EM incidents.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.10.2-01	EM Monitoring Results For a date range, show a list of persons, case numbers, date of monitoring, type of EM equipment, monitoring results type (Dropdown: Active, Inactive (AWOL), Terminated, Other) **Vendor Response (written narrative here):**				
AC 6.10.2-01	EM Case Notes Enable a user to enter notes regarding electronic monitoring, e.g., compliance, move from one level to another. **Vendor Response (written narrative here):**				
AC 6.10.2-02	Enable a user to submit an incident report, including lack of compliance with electronic monitoring conditions, with notification to staff assigned to the defendant/ youth. **Vendor Response (written narrative here):**				

6.11 Monitor Problem-Solving Court Case

Business Capability Description

A Supervision officer monitors treatment of a defendant/ youth ordered to participate in a Problem-Solving Court by a judicial officer, where the Supervision case is linked to one or more court cases. The current types of Problem-Solving Courts are Juvenile Drug Court, Family Drug Court, Domestic Violence Court, and Sex offender Treatment. A Problem-Solving Court case is an additional Supervision case type ordered by the court, with all of the same kinds of

requirements as other case types.

Vendors may treat problem-solving court cases as an additional court case type (see **Attachment 1 Court/Clerk CMS section 9.8 Supervise Treatment of Defendants in Problem-Solving Courts**), or they may treat it as a Supervision case type.

Similar to other Supervision case types, the following kinds of information are recorded for Problem-Solving Courts:

Element of Problem-Solving Court	Participation in Problem-Solving Court
1. Participants in program	1. Defendant/ youth, judge, court coordinator, case worker, probation officer, probation service providers, attorney
2. Data used to initiate and update the program	2. Defendant/ youth name and demographics, results of screenings and assessments, including history of drug use, risk factors, criminal history, health and mental health factors, impairments or disabilities, family factors, living environment, employment, education, financial resources
3. Status of program and participants	3. Type of Program, Initiated, Active, Inactive, Graduated, Terminated, Interpreter needed, Tracks, Phases of tracks
4. Event log of past events in the program	4. Events associated with participant status: Acceptance or rejection of the defendant into the program, reason for rejection, staffings held and participants, referrals for services and programs, results of substance abuse testing, supervision contacts, results of drug court proceeding
5. Documents associated with events in the log	5. Referral court order, releases executed by participants, treatment plans, supervision case plans, conditions of participation, progress reports from service providers, probation reports, completions on referrals
6. Scheduled events in the program	6. Staffing dates, appointments, ticklers
7. Financial information	7. Payment of court and treatment obligations
8. Notes by program managers	8. Program case notes, Administrative notes
9. Document generation using program information	9. Notices, warrants, correspondence, graduation certificate
10. Reporting	10. Number and demographics of defendants/ youths participating during reporting period; recidivism/success rate

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.11-01	Problem-Solving Court Case Dashboard Display At the top of each screen in a Problem-Solving Court case (after intake), the screen shows client name, type of Problem-Solving Court, next scheduled court session, # of days in the program, # of days clean, current phase, # of days in current phase, and # of sanctions given. **Vendor Response (written narrative here):**				
RD 6.11-02	Problem-Solving Court Case Calendar Call Docket For a date range in a Problem-Solving Court, the cases with scheduled court sessions, showing client name, case number, date/time, offense(s) convicted, probation officer, case manager, treatment provider, current phase. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.11-03	Problem-Solving Court Case Load Report For a date range in a Problem-Solving Court, listing of cases by probation officer, case manager, treatment provider. **Vendor Response (written narrative here):**				
RD 6.11-04	Problem-Solving Court Case Entry/ Exit History For a date range in a Problem-Solving Court case, the events in the Confidential Log of Case Entry/ Exit Events. **Vendor Response (written narrative here):**				
RD 6.11-05	Problem-Solving Court Case Supervision History For a date range in a Problem-Solving Court case, the events in the Confidential Log of Supervision Events. **Vendor Response (written narrative here):**				
RD 6.11-06	Problem-Solving Court Statistics of Participation and Recidivism For a date range and for a particular Problem-Solving Court, the number of Problem-Solving Court cases initiated, terminated with type of termination, demographics of participants, recidivism rates, and case details including defendant name, case number and type of most serious case. **Vendor Response (written narrative here):**				
RD 6.11-07	Display of Problem-Solving Court Management Data 1. Problem-Solving Court Type (Dropdown: drug, veterans, mental health) 2. Case number 3. Last Name 4. First Name 5. Middle Initial 6. DOB 7. Address (including address history) 8. Phone Number 9. Date of Arrest 10. Offense(s) Convicted: Offense Class: (Dropdown: 1,2,3,4, CM, Other (specify)) Note: Need Class to Correspond to Each offense. There Can Be Multiple offenses Convicted 11. Sentence Type: (Dropdown: Pre-Plea, Probation, C/D, Deferred) 12. Date of Petition 13. Date of Staffing on Assessment– multiple occurrences 14. Result (Dropdown: Accept Or Reject) • If Reject, Reason (Dropdown: Withdrew Petition, Violence, Record Too Serious, Warrants/Detainers Outside Jurisdiction, Other (specify)) 15. Date of Plea 16. Incarcerated at Time of Entry? Yes/No 17. Date Started Treatment 18. Problem-Solving Court Coordinator, Case Worker, Attorney Name, Probation officer and Other Participants 19. Date Reviewed and Approved for Further Assessment by Prosecutor				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	20. Date of Staffing on Assessment– multiple occurrences 21. Result (Dropdown: Accept Or Reject) • If Reject, Reason (Dropdown: Withdrew Petition, Violence, Record Too Serious, Warrants/Detainers Outside Jurisdiction, Other (specify)) **Vendor Response (written narrative here):**				
AC 6.11-01	Problem-Solving Court Case Confidential Log of Events Make log entries of events in a Problem-Solving Court case in a limited-access log with information that must be accessible only to authorized roles, e.g., information disclosed at "staffing" of a case before the open-court hearing. See **DN 6.11-1 Problem-Solving Court Case Confidential Log of Events** **Vendor Response (written narrative here):**				
AC 6.11-02	Problem-Solving Court Case Initiation Configure screen to enable initiating a new Problem-Solving Court case by populating the case with assessment data and events in **DN 6.11-2 Initiate Problem-Solving Court Case with Assessment Data**. **Vendor Response (written narrative here):**				
AC 6.11-03	Problem-Solving Court Case Intake Configure screen to enable updating a Problem-Solving Court Case with intake data in **DN 6.11-3 Update Problem-Solving Court Case with Intake Data**. **Vendor Response (written narrative here):**				
AC 6.11-04	Problem-Solving Court Case Planning Update Confidential Log of Events with case planning events and attach treatment plans, supervision case plans, conditions of participation. **Vendor Response (written narrative here):**				
AC 6.11-05	Problem-Solving Court Case Weekly Compliance Configure screen to enable updating a Problem-Solving Court Case with intake data in **DN 6.11-4 Update Problem-Solving Court Case with Weekly Compliance Data**. a. System automatically enters the date of data entry b. No change from previous week – copy information from the week before **Vendor Response (written narrative here):**				
AC 6.11-06	Bulk Drug Test Results Enable scheduling the same drug test and recording results for a group of clients: a. Filter clients by phase, drug test color, gender and judicial officer b. For a filtered list of clients, enter data that applies to all: test type, test date, drugs tested c. Default results to negative – modify only if a drug test is positive **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.11-07	Problem-Solving Court Case Management Make Confidential Log entries of Problem-Solving Court hearings. **Vendor Response (written narrative here):**				
AC 6.11-08	Evaluation Capture and tabulate data needed for program evaluation (e.g., number and characteristics of participation, graduation and termination; effectiveness of sanctions and incentives; attendance at court, treatment sessions, and case manager meetings; money paid, recidivism) – exportable to Excel. See **13.1.3 Measure Performance of Problem-Solving Courts**. **Vendor Response (written narrative here):**				
AC 6.11-09	Problem-Solving Court Case Discharge Configure screen to enable updating a Problem-Solving Court Case with discharge data in DN 6.11-7 Update Problem-Solving Court Case with Discharge Data. **Vendor Response (written narrative here):**				
DN 6.11-01	Problem-Solving Court Case Confidential Log of Events A log of case events of a problem-solving court case, recording the date/ time of the events at different stages of the case (filterable by stage): assessment, intake, compliance, discharge. Drop-down choices of log entries include specified dropdown box choices. **Vendor Response (written narrative here):**				
DN 6.11-02	Initiate Problem-Solving Court Case with Assessment Data A Problem-Solving Court tracks events of defendants considered for entry, beginning with arrest of the defendant, and court staff or the clerk enters the following events into the confidential log of events: (all fields mandatory) **Vendor Response (written narrative here):**				
DN 6.11-03	Assessment Data 1. Assessment Types Completed and Date (Dropdown: Multiple Selections Will Apply -- Psychological (Court Staff), Psycho-Social (VA), Psycho-Social (LCHD), Bond Report, PSI, LSI-R, GAIN (Global Appraisal of Individual Needs), Other (specify)) – multiple occurrences 2. LSI-R Score 3. LSI-R Risk Level **Vendor Response (written narrative here):**				
DN 6.11-04	Update Problem-Solving Court Case with Intake Data A Problem-Solving Court tracks events of defendants for intake, and court staff or the clerk enters the following events into the confidential log of events: (all fields mandatory) 1. Problem-Solving Court Type (Dropdown: drug, veterans, mental health) 2. Frequency of Court Session Reporting Required: Dropdown: Every Week, Every Other Week 3. Problem-Solving Court Case Participants: • Probation Officer				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	• Case Worker • Treatment Provider 4. Incarcerated at Time of Entry? Yes/No 5. Total Number Prior Misdemeanor Arrests 6. Total Number Prior Felony Convictions 7. Total Number Prior Periods of Probation 8. Total Number Prior Periods of Prison 9. Date Started Treatment 10. Total days eligible (Maximum) to serve in custody: Dropdown: (List of values TBD) 11. Total Number Prior SA Therapy Episodes 12. Total Number Prior MH Therapy Episodes 13. Total Number Prior Psychiatric Hospitalizations? Dropdown: Y/N • If Yes, how many? 14. Is Defendant a Veteran? Dropdown: Y/N • If Yes, Branch Served: Dropdown: Army, Air Force, Marines, Coast Guard, Navy 15. Actively Involved in Any Therapy at Time of Entry? Dropdown: Y/N i. If Yes, Type: (Dropdown: Substance Abuse/MH) ii. If Yes, Agency 16. Psychotropic Meds? Dropdown: Y/N • If Yes, Identify 17. Primary Drug of Choice: Dropdown: Alcohol, Cocaine, Heroin, Prescription Pills, Methamphetamine, Other (specify), N/A (include more comprehensive list) 18. Secondary Drug of Choice: Dropdown: Alcohol, Cocaine, Heroin, Prescription Pills, Methamphetamine, Other (specify), N/A 19. Tertiary Drug of Choice: Dropdown: Alcohol, Cocaine, Heroin, Prescription Pills, Methamphetamine, Other (specify), N/A 20. Is There a Chemical Dependence Diagnosis: Dropdown: Y/N 21. DSM Diagnosis: Dropdown: Y/N • If Yes, Dropdown: Possible Diagnosis 22. Co-Occurring Disorder: Dropdown: Y/N 23. Any History of Suicide Attempts? Dropdown: Y/N • If Yes, Number 24. Dependents? Dropdown: Y/N • If Yes, How Many? • If Yes, Ages of Dependents? • Currently Have Custody of Children? Dropdown: Y/N • Any Past ODJFS Involvement? Dropdown: Y/N • Any Current ODJFS Involvement? Dropdown: Y/N 25. Disabled? Dropdown: Y/N 26. Medical Insurance: Dropdown: None, Medicaid, Medicare, Private, Other (specify) 27. Employed at Time of Placement on the Program? • Dropdown: PT, FT, Unemployed 28. Last Grade Completed 29. Income Source: Dropdown: None, Public Welfare, Social Security, Full-Time Job, Parents or Other Family, Pension, Other (specify)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	30. Housing at Time of Arrest: Dropdown: Homeless, Independent Living, Sober Living Environment, Family Supported, Group/Nursing Home, DHS Facility, Transitional Housing, Other (specify) **Vendor Response (written narrative here):**				
DN 6.11-05	Update Problem-Solving Court Case with Weekly Compliance Data A Problem-Solving Court tracks events of defendants weekly by court staff entering the following events into the confidential log of events, with automated features (see Application Capabilities – copy information from previous week if no change, because most things don't change from week to week): (all fields mandatory, default No Change) Case Data Updates (Non-Drug Related) 1. Date of Next Scheduled Court Session 2. Phase Change Date, Current Phase 3. Change in Residence? (Default No) If Yes, Dropdown: DHS (Inpatient MH facility), Group Home, Hospital (emergency MH placement, detox), Halfway House, Independent Residence, Nursing Home, Oxford House, Residential Treatment Facility, Other (specify) (Jail, Homeless, Hospitalized by Medical Condition) 4. New Address (add to address history) 5. New offense (offender is formally charged). Dropdown of case type: CF, CM, OV/TR, VOP/PTR. If no new offenses, leave it blank. 6. New Offense Date. If no new offenses, leave it blank. 7. Judicial Status Hearing Date. If no court date, leave it blank. 8. Judicial Status Hearing Attended. Dropdown: Y/N. If no court date, leave it blank. 9. Judicial Status Hearing Excused. Dropdown: Y/N. If no court date, leave it blank. 10. Therapeutic Sessions Scheduled (professional services). Dropdown: 1-6. 11. Therapeutic Sessions Attended. Dropdown: 1-6. 12. Therapeutic Sessions Excused. Dropdown: 1-6. 13. Contacts Scheduled with Case Manager. Dropdown: 1-6. 14. Contacts Attended with Case Manager. Dropdown: 1-6. 15. Contacts Excused with Case Manager. Dropdown: 1-6. 16. Hospital Days (emergency MH placement, detox). Dropdown: 1-6. 17. Inpatient Treatment Days (emergency MH placement, detox). Dropdown: 1-6. 18. Compliance with Program Requirements. Dropdown: Substantial compliance, non-compliance. 19. Community Service Hours Completed. 20. Sanction Date. If no sanction, leave blank. 21. Sanction Type. If no sanction, leave blank. Dropdown: Curfew, Increase court attendance, Increase reporting, jail, no contact with person or place, phase demotion, public service, verbal warning, written assignment, Other (specify). • If jail, how many days? 22. Sanction Reason. If no sanction, leave blank. Alcohol/drug use detected, curfew, incomplete assignment, missed appointment, technical violation, violate no contact order, Other (specify).				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	23. Incentive Date. If no incentive applied, leave blank. 24. Incentive Type. If no incentive applied, leave blank. Dropdown: gift card, pass (personal time from facility), phase promotion, relaxed curfew, Other (specify). • Incentive Reason. If no incentive applied, leave blank. Dropdown: Job acquired, phase completion, treatment compliance, treatment completion, Other (specify). **Vendor Response (written narrative here):**				
DN 6.11-06	Drug Test Data for Each Test Occurrence (See Application Capabilities for Bulk Drug Test Results) 1. Type of Drug/Alcohol Test. 2. Drug/Alcohol Test Result. Dropdown: Positive (any test with initial result positive), Negative (all test are negative or initial result negative). 3. Drug/Alcohol Test Substance Detected. If all initial results negative, leave blank. Dropdown: alcohol, amphetamines, barbiturates, benzodiazepines, cannabinoids, cocaine, methamphetamine, opiates, other illicit substance, multiple substances detected. 4. Drug Test Confirmed. . If all initial results negative, leave blank. Dropdown: Yes/No/Admit. **Vendor Response (written narrative here):**				
DN 6.11-07	Results of Screenings and Assessments Maintain templates and repositories of screenings and assessments that include such elements as the history of drug use, risk factors, criminal history, health and mental health factors, impairments or disabilities, family factors, living environment, employment, education, and financial resources. **Vendor Response (written narrative here):**				
DN 6.11-08	Treatment Case Plans Maintain templates and repositories of treatment plans, supervision case plans, conditions of participation. **Vendor Response (written narrative here):**				
DN 6.11-09	Update Problem-Solving Court Case with Discharge Data (all fields mandatory) 1. Problem-Solving Court Type (Dropdown: drug, veterans, mental health) 2. Date of Discharge 3. Type of Discharge: Dropdown: Graduation, Revocation, Unsuccessful Termination (with reason for termination), Straight Termination, Deceased, Other 4. Court Obligations: • Court Costs Ordered • Court Costs Balance • Fines Ordered • Fines Balance • PSF Ordered • PSF Balance • Restitution Ordered				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	• Restitution Paid 5. Judgment Entered? Dropdown: Y/N 6. Treatment Type: Click All That Apply: Dropdown: None, Residential D/A, Residential Co-Occurring, Residential MH, Outpatient D/A, Outpatient MH, Cog, Outpatient Co-Occurring, Recovery Coach Services, Anger Control, Parenting, Case Manager, Psychiatric Medication, Vocational/Educational Services, Other (specify) 7. Mentor Services Provided? Dropdown: Y/N 8. Did Defendant Regain Custody of Any Children While In Program: Dropdown: Y/N/N/A 9. Any Children Born While in Program? Dropdown: Y/N • If Yes, Any Born Cocaine or Other Drug Positive?: Dropdown: Y/N 10. Income Source: Dropdown: None, Public Welfare, Social Security, Full-Time Job, Parents or Other Family, Pension, Other (specify) 11. Housing at Time of Release: Dropdown: Homeless, Independent Living, Sober Living Environment, Family Supported, Group/Nursing Home, DHS Facility, Transitional Housing, Other (specify) **Vendor Response (written narrative here):**				

6.12 *Close Supervision Case*

Business Capability Description
When a Supervision case has a disposition, staff marks it as "Closed."

For juveniles, one of the following events has occurred:

- Juvenile jurisdiction ends
- SB 337 certification to adult criminal court
- Juvenile Court case dismissed
- Adjudication of Juvenile Court case without involvement with probation, i.e., sentenced to Department of Youth Services, including intervention in lieu of conviction
- Successful termination of diversion or probation
- Early termination of diversion or probation
- Incomplete obligations

For adults, one of the following events has occurred:

- Bond imposed
- Revocation to prison
- Criminal Court case dismissed
- Disposition of Criminal Court case without involvement with probation, i.e., sentenced to prison
- Successful termination of diversion or probation
- Early termination of diversion or probation
- Post-Conviction Relief from Disability (Sit on Jury, Gun Ownership)

- Incomplete obligations
- Transfer - Interstate Compact

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.12-01	**Close Case** 1. Enable a user to change the status of the Supervision case to "Closed." See Case Status (Dropdown: Closed, Open, Warrant, Post-Disposition). 2. Enter change of status in Supervision ROA. 3. Scan and attach copy of Probation decision to the Supervision ROA entry. **Vendor Response (written narrative here):**				
AC 6.12-02	**Report Dispositions of Supervision Cases** Generate notice of case disposition or closure and mail/ transmit the notice per agreement with the person/ agency, and automatically record sending of notice in the Supervision ROA: 1. Victim 2. School 3. Law Enforcement 4. Evidence Manager -- Release Property 5. JFS 6. LCCS **Vendor Response (written narrative here):**				

7 Investigate/ Recommend

7.1 *Investigation Reports*

Business Capability Description
Supervision officers conduct a variety of investigations and prepare reports requested by the court:

A. Pre-Plea, Post-Plea, Pre-Sentence Investigation
B. Juvenile Probation: pre-disposition investigation, home study
C. Expungement application

A defendant/ youth applies to the court to have convictions expunged.
Special consideration is given to the following record-related situations:

A. Expungement of records may occur earlier than case closure (if a person requests expungement for entry into the military), or after case closure.
B. Expungement of records related to Informal Adjustment is automatic if completed successfully.
C. Expungement of records when a juvenile reaches majority requires an order of the court.
D. A juvenile case may involve multiple youths, some of which request or are entitled to Expungement.

Business Rules

ORS 2151.358 Expungement of Sealed Records provides for expungement of juvenile court convictions.
Ohio Revised Code Sections 2953.32, 2953.31 and 2953.33-2953.36 provide for expungement of adult convictions.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.1-01	**Prepare Investigation Report** Enable a user to record the request in Supervision ROA; enter investigation results in a template; generate report to the requesting party (court, defendant/ youth); attach the report to the Supervision case. 1. Pretrial-Presentence Department: Pre-Plea, Post-Plea, Pre-Sentence Investigation 2. Juvenile Probation: pre-disposition investigation, home study 3. Expungement application **Vendor Response (written narrative here):**				

8 Manage Supervision Programs and Services

8.1 Maintain Information on Programs and Services

Business Capability Description

The Probation Department maintains agency information on programs, service providers, public service, seminars, counseling, and other services.

Business Rules

BR 8.1-1 Multiple Agency Locations

Court policy may specify that multiple locations of an agency providing Probation programs are managed as separate entities.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 8.1-01	**Service Provider Information Display** a. Service Provider level information: Service Provider Name, Address, Address2, City, State, Zip, Phone, Fax b. Service Type: (Dropdown: add list at implementation) 1) Community Service Job Position (Dropdown: Animal Care, Child Care/ Supervision/ Mentoring, Customer Service, Janitorial, Labor/ Construction, Office/ Clerical, Special Needs, Unknown) c. Contact: Name, Phone with Extension, email d. Days Offered checkboxes: Monday, Tuesday, Wednesday, Thursday, Friday, Saturday e. Service Location(s) (text)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	f. Evaluation Comments (free text), including the following issues: 1) Communications 2) Availability 3) Accessibility (insurance) 4) Responding to subpoenas 5) Recidivism - effectiveness of their services **Vendor Response (written narrative here):**				
AC 8.1-01	**Search Service Provider Name** Enable user to enter partial or full name of Service Provider to retrieve existing Service Provider data. **Vendor Response (written narrative here):**				
AC 8.1-02	**Enter New Service Provider** Enable user to enter new Service Provider information (see **RD 8.1-01 Service Provider Information Display**). **Vendor Response (written narrative here):**				

8.1.1 Track Certifications

Business Capability Description

Probation maintains a list of qualified mediators. Interpreters are not formally certified, but the court maintains a list of interpreters.

Business Rules

BR 8.1.1-01 Mediator Qualifications and Training

Lucas County Juvenile Division Rules of Practice, Rule 11.5 specifies mediator qualifications and training requirements.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 8.1.1-01	**Juvenile Court Qualified Mediator List Report** For a date range, the report contains the names of the persons on the list, and the date last reviewed by _____. **Vendor Response (written narrative here):**				
RD 8.1.1-02	**Interpreter List Report** For a date range, the report contains the names of active interpreter on the interpreter list				
AC 8.1.1-01	**Maintain Lists of Qualified Persons and Attach Documentation** Update data on the relevant list (see **Data Needs** for the types of lists), scan supporting documentation and attach it to the person's record on the list. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 8.1.1-01	**Juvenile Court Qualified Mediator List** The list contains the name of the person, status, date applied for inclusion on the list, date of inclusion on the list of mediators, and date of removal from the list, if any **Vendor Response (written narrative here):**				
DN 8.1.1-02	**Interpreter List** The list contains the name of the interpreter, the language, date of entry on the list, date of removal from the list. An interpreter who interprets more than one language will have a separate entry for the different language. **Vendor Response (written narrative here):**				

8.2 Evaluate Performance of Program Referrals

Business Capability Description
The Probation Department evaluates performance of programs and agencies offering community service, seminars, counseling, and other program types.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 8.2-01	**Program and Service Provider Summary Display** For a date range and type of service provided, display by program/ agency name the number and percentage successfully and unsuccessfully terminated, and number and percentage of those terminated with no new charges, and the average number of days in the program. **Vendor Response (written narrative here):**				

9 Manage Supervision Office Workload

9.1 Track Supervision Officer Assignments

Business Capability Description
Assigning a Supervision Officer to a case creates record of the officer on the case. Supervision Officer-case assignments are contained in **DN 2.1.5-01 Attorney-Case Assignment Table DN 2.1.5-01 Attorney-Case Assignment Table.** Tracking courtroom assignments in the General Division facilitate rotating courtroom assignments annually.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.1-01	**Pretrial-Presentence Supervision Officer Assignment History Report** For a date range, for a Pretrial-Presentence Supervision Officer (or selected Supervision Officers), list the cases assigned to the Supervision Officer, case number, date of assignment, defendant, case type, lead (most serious) charge, judge, disposition type (Drop down: values TBD). See **DN 1.3.1-02 Assignment History Table of Supervision Officers to a Case**. **Vendor Response (written narrative here):**				
RD 9.1-02	**Adult Probation Officer Assignment History Report** For a date range, for a Adult Probation Supervision Officer (or selected Supervision Officers), list the cases assigned to the Supervision Officer, case number, date of assignment, defendant, case type, lead (most serious) charge, judge, disposition type (Drop down: values TBD). See **DN 1.3.1-02 Assignment History Table of Supervision Officers to a Case**. **Vendor Response (written narrative here):**				
RD 9.1-03	**Juvenile Probation Officer Assignment History Report** For a date range, for a Juvenile Probation Supervision Officer (or selected Supervision Officers), list the cases assigned to the Supervision Officer, case number, date of assignment, defendant, case type, lead (most serious) charge, judge, disposition type (Drop down: values TBD). See **DN 1.3.1-02 Assignment History Table of Supervision Officers to a Case**. **Vendor Response (written narrative here):**				
RD 9.1-04	**Rotation of Assignments** For a date range, show by officer the assignment(s) and the start and end dates, filterable by officer name and assignment type. **Vendor Response (written narrative here):**				

9.2 *Manage Supervision Work*

9.2.1 Measure Officer Performance

Business Capability Description

Supervision management tracks officer performance.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.2.1-01	**Supervision Officer Performance Report** For a date range for an officer, display the number of defendants/ youths supervised to termination, including the risk level, reporting versus non-reporting, number and percentage successfully and unsuccessfully terminated, and number and percentage of those terminated with no new charges (did not reoffend), number of drug tests taken and failed, and the average number of days supervised by an officer. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

9.2.2 Monitor Work Queues

Business Capability Description

Work tasks are assigned to individuals and groups of Supervision officers, and the time in the work queue is tracked by managers. Overall, Supervision management monitors the level of customer service, execution of tasks in work queues, identifies bottlenecks, reallocates staff dynamically based on workload, and assess whether scheduling and resource use are effective. Viewing the volume of work queue items assists management in understanding the peaks and valleys of work item volume, the volume of work available, waits for information, and multiple tries to get people in or otherwise respond.

Business Rules

BR 9.2.2 Work Item Duration Expectations

Department policy may specify how the length of time for responding to items in a work queue, by user role, as a means of setting expectations for response times to case events.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.2.2-01	Supervision Case Dashboard Display At the top of each screen in a Supervision case (after intake), the screen shows client name, type of Supervision case, next scheduled court session, # of days in the program, # of days clean or successful, current phase, # of days in current phase, and # of sanctions given. **Vendor Response (written narrative here):**				
RD 9.2.2-02	Work Queue Display For a given date/ time, or for a range of dates/ times, display of the number and type of items in a work queue (detail of work items exportable for Excel analysis). **Vendor Response (written narrative here):**				
RD 9.2.2-03	Work Item Flow Report For a date/ time range, by work queue type and work item type, a summary of the number of work items in a work queue, the length of time of work items in the work queue, and the number of times work items are forwarded before being completed. **Vendor Response (written narrative here):**				
RD 9.2.2-04	Work Item Bottleneck Report For a date/ time range, by work queue type and work item type, a summary of the percentage of work items that exceed the standard time. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.2.2-05	Length of Time in Work Queue Measure and log the length of time a work item is in a work queue, by type of work item (e.g., filing review, court customer query response, internal query response). **Vendor Response (written narrative here):**				
DN 9.2.2-01	Work Item Processing History This table stores the date/ time a work item is posted to a work queue and the date/ time it is disposed (including referral to someone else), with work item type, queue type, **Vendor Response (written narrative here):**				

9.2.3 Case Audits

Business Capability Description

Department policy provides that a case be audited when supervision level is reduced. The Department also conducts random audits to determine if data is being entered on cases in a timely manner, and that reassessments are performed in a timely manner, according to department standards.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.2.3-01	**Probation Case Audit Report** For a date range, display by Supervision officer the cases audited and the evaluation of each audit. **Vendor Response (written narrative here):**				
AC 9.2.3-01	**Probation Case Audit Data Entry** Record in a case audit history the events and dates in a case selected for audit that are red flags, e.g., when the client last reported, missed appointment, missed a urine test, etc. **Vendor Response (written narrative here):**				

10 Measure Supervision Performance

10.1 *Measure Supervision Case Performance*

Business Capability Description

The Supervision department reports statistics to State, to agencies, and to grant funders.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 10.1-01	Probation Currently Active Report For a given date, the number of defendants/ youths under supervision, with categorization to reflect risk level, offense/ degree, program participation, restitution, pre-sentence/ disposition investigations, and under petition to revoke. **Vendor Response (written narrative here):**				
RD 10.1-02	Active Warrant Multiple Charges Report For a given date, the number of defendants/ youths with active warrants and multiple charges. **Vendor Response (written narrative here):**				
RD 10.1-03	Probation Successful Completion Report For a given period, the number of defendants/ youths who have successfully completed Probation, and their characteristics. **Vendor Response (written narrative here):**				
RD 10.1-04	Probation Termination Report For a given period, the number of defendants/ youths who have been terminated from Probation, reasons for termination, and length of time on probation before termination. **Vendor Response (written narrative here):**				
RD 10.1-05	Probation Noncompliance and Warrant Report For a given period, the number of bench warrants issued for defendants/ youths by type of condition (Dropdown: values TBD) **Vendor Response (written narrative here):**				
RD 10.1-06	Probation Payment Report For a given period, the Fees, Fines, Costs, and Restitution paid by each defendant. **Vendor Response (written narrative here):**				
RD 10.1-07	Probation Community Service Report For a given period, the community service hours completed by each participant. **Vendor Response (written narrative here):**				

10.2 Measure Juvenile Case Performance

Business Capability Description

Juvenile Probation reports measures of juvenile probation case performance.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 10.2-01	**Juvenile Recidivism while on Probation Report** For a date range, list the youths on probation, filterable by officer, who have: a. Offenses While on Probation b. Minor Offenses **Vendor Response (written narrative here):**				
RD 10.2-02	**Juvenile Recidivism In-Program Report** For a date range, list the youths on probation, filterable by officer, who have: a. Technical Violations b. Dirty UA c. Curfew violation **Vendor Response (written narrative here):**				
RD 10.2-03	**Juvenile Supervision Timeliness Report** For a date range, list the youths on probation, filterable by officer: a. Time between Phases b. Time to Disposition **Vendor Response (written narrative here):**				
RD 10.2-04	**Juvenile Supervision Due Process Report** For a date range, list the youths on probation, filterable by officer: a. Percentage of cases in which there is documentation that notice is given to parties in advance of the next hearing b. Percentage of cases in which the court reviews case plans within established time guidelines c. Percentage of youths receiving legal counsel, GAL or CASA volunteers in advance of a protective hearing or equivalent d. Percentage of cases in which legal counsel for parents, children and agencies are present at each hearing **Vendor Response (written narrative here):**				
RD 10.2-05	**Juvenile Unofficial versus Official Cases** For a date range, list the youths referred to Juvenile Probation, which are handled unofficially and officially, with status, duration. **Vendor Response (written narrative here):**				
RD 10.2-06	**Victim and Probation Survey Results** For a date range, list survey results by question, with percentages of responses. **Vendor Response (written narrative here):**				
RD 10.2-07	**Reduction in Risk Level Report** For a date range, list the youths referred to Juvenile Probation, by date, with initial risk level and ending risk level when probation services ended. **Vendor Response (written narrative here):**				

11 Adapt to Changing Business Environment

11.1 Modify Work Procedures to Respond to Changed Events and Conditions

Business Capability Description
Add and change workflows and business rules to meet changing legal and work requirements.
Business Rules
Reference specific state statutes, state court rules, local court rules

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 11.1-01	**Visual Tools for Displaying and Configuring Workflows** Display workflows to enable modification. **Vendor Response (written narrative here):**				
RD 11.1-02	**Visual Tools for Displaying and Configuring Business Rules** Display business rules to enable modification. **Vendor Response (written narrative here):**				
AC 11.1-01	**Configure Queues for Routing Tasks** Configure workflows for routing tasks, documents and messages to work queues (based on roles) where users must take action on them (Dropdown: clerk issues warrant after judge signs it, route bond refund request to supervisor with authority to approve). Queues include: Supervision Division Chief Supervision Program Specialist Supervision Office Supervision Admin Staff **Vendor Response (written narrative here):**				
AC 11.1-02	**Configure Business Rules** Set up business rules appropriate to business processes as set by court policy, to update the case status whenever a certain condition is detected or a case event is recorded. Business rule settings are Sys Admin-modifiable through a business rules table. **Vendor Response (written narrative here):**				
AC 11.1-03	**Add New Case Event Types** Add new Case Event types and have functions, like event codes and document generation, change in synch and work properly with them. **Vendor Response (written narrative here):**				
AC 11.1-04	**Define Sequence of Events in Data Entry** Configure data entry screens sequentially to lead a user through data entry. **Vendor Response (written narrative here):**				
AC 11.1-05	**Add New Data Fields** Enable configuring of the system by adding new data fields to any table without corrupting pre-existing records: Values for data fields				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Free text fields Formatted data fields Calculated fields **Vendor Response (written narrative here):**				
AC 11.1-06	**Disable User Account on Termination** Automatically Disable a User Account (Dropdown: when user's employment status changes from "Active") **Vendor Response (written narrative here):**				

11.2 Use the Case Status to Trigger Actions

Business Capability Description
Case managers (Supervision officers, program managers, staff) track events in a Supervision case and the status of a case and of its participants (i.e., special conditions about case/ person status) and use those events and statuses to determine what actions need to be performed or, more generally, the course that the Supervision case takes.

Events may originate externally or internally. Supervision case status may be set manually or automatically by the application, and the application may automatically perform the specified action or inform the user of the event or case status. A case status-related event may result in alerts, ticklers, or notifications.

The case managers receive information about events in a case and the status of a case and of its participants via alerts, tickler and notifications, and take appropriate action.

Business Rules
BR 11.2-01 Case/ Person Statuses – Action Correlation Table
Supervision Department policy may specify how case statuses and defendant/ youth statuses correlate with actions that must be taken when a certain status occurs.

Process Activities
PA 11.2-01 Fill a Data Field Based upon the Value of Another Data Field
Fill a data field based upon the value of another data field (Dropdown: turn off "Warrant Outstanding" flag when the defendant/ youth has "In Custody" status.

PA 11.2-02 Trigger Document Production
Generate and print document(s) triggered by a specific event, event outcome, disposition, condition, or set of conditions (rule-based).

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 11.2-01	**Display of Alerts** • Display alerts at the top of the relevant screen display • On a person record or case record, display a flashing red alert with an appropriate message based on the case status. **Vendor Response (written narrative here):**				
RD 11.2-02	**Person/Case Status Alerts** The following case/ person statuses activate a flashing alert when the case or person record is displayed, prompting the user to perform or avoid some action: 1. Appealed Case 2. Bond Company Ineligible 3. Collection Status (of Account) 4. Deferred Judgment/ Sentence 5. Diversion status 6. Gang-affiliated (see **AC 2.1-13 Update Person/ Case Status Alerts**) 7. Gross sexual GSI (see **AC 2.1-13 Update Person/ Case Status Alerts**) 8. Gun-related (see **AC 2.1-13 Update Person/ Case Status Alerts**) 9. Hostile (see **AC 2.1-13 Update Person/ Case Status Alerts**) 10. In custody 11. Interpreter Needed (see **DN 2.1-06 Interpreter Needed Flag**) 12. Juvenile (Age of Defendant) 13. No-contact orders (see **AC 2.1-13 Update Person/ Case Status Alerts**) 14. NSF (Non-sufficient Funds) Check 15. Party deceased 16. Pickup order (see **AC 2.1-13 Update Person/ Case Status Alerts**) 17. Pretrial Supervision status 18. Probation status 19. Prone to violence 20. Self-Represented Litigant (SRL) 21. Show Cause 22. Warrant Outstanding 23. Violent Tendencies (see **AC 2.1-13 Update Person/ Case Status Alerts**) **Vendor Response (written narrative here):**				

RD 11.2-03	**Format of Ticklers and Notifications Display**
	• Defendant Name
	• Case Number
	• From Department
	• When the From Department is Courtroom:
	  ○ Court Session Division
	  ○ Court Session Judge
	• Date Created
	• Time Created
	• Message Contents
	Vendor Response (written narrative here):				

RD 11.2-04	**Display of Case/ Defendant Statuses – Action Correlation Table Display** As of a given date, a display of case statuses and defendant statuses specified by court policy with actions related to the change of state				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 11.2-01	**General - Case/ Person Status Flag Manual or Automatic Update** Manually update the case/ person status flag where no event code triggers automatic update, or automatically update the status flag triggered by a business rule. See **RD 11.2-02 Person/Case Status Alerts**. **Vendor Response (written narrative here):**				
AC 11.2-02	**General - Event-Based Case/ Person Status Updates** Configure event codes to update case/ person statuses identified in **BR 13.4 Case/ Person Statuses – Action Correlation Table**. **Vendor Response (written narrative here):**				
AC 11.2-03	**Alert - Case/ Person Status Alert Manual or Automatic Update** Manually update the case/ person status alert where no event code triggers automatic update, or automatically update the status triggered by a business rule. See **RD 11.2-02 Person/Case Status Alerts**. **Vendor Response (written narrative here):**				
AC 11.2-04	**Ad hoc Message Alert** Alert a user or group of users with a screen message or email. **Vendor Response (written narrative here):**				
AC 11.2-05	**Tickler - Case Status Tickler Manual or Automatic Update** Manually update the case tickler where no event code triggers automatic update, or automatically update the status flag triggered by a business rule. **Vendor Response (written narrative here):**				
AC 11.2-06	**Tickler - Show Case Event as Not Yet Due** Case Event is waiting in a certain step in the process. It may not be yet available for processing. Example: The appellate brief has not been submitted yet, but it is visible to internal staff as in proc**ess.** **Vendor Response (written narrative here):**				
AC 11.2-07	**Tickler - Show Case Event as Due** Case Event is waiting in a certain status xxx days before due date. It is available for processing. Example: An appellate brief is filed and served before due date.				
AC 11.2-08	**Tickler - Show a Case Event as Overdue, xxx Days after the Due Date** It may be still available for processing by the allocated Resource but is also visible to a person in a higher role as overdue. Example: Service of a subpoena is late (not accomplished by the set time). Service is showing as late to the attorney who can take action. Service may still be obtained.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 11.2-09	**Tickler - Determine Due Date and Escalation** Determine milestones for each Case Event as due date, escalate xxx days before due date, timeout nnn days before due date. Example: A second letter is sent to a party 10 days after the first letter was sent and no response is received **Vendor Response (written narrative here):**				
AC 11.2-10	**Tickler - Automatic Deletion of Ticklers** Delete tickler automatically when the designated action is taken. **Vendor Response (written narrative here):**				
AC 11.2-11	**Tickler - Escalation of Ticklers** Automatically notify a user's supervisors if a tickler is not responded to within a period set by parameter. **Vendor Response (written narrative here):**				
AC 11.2-12	**Notification - Enable the User to Create a New Notification** • Enter unlimited message text • Indicate the court case the message applies to. • Indicate the department(s) the message is to be sent to. • Verify the department against the master department list. If the department is not contained on the list, display an error message and the entry shall not be accepted. • Indicate the department from which the message originated. • Allow for additional data elements specific to the department the message is being routed to. • Request a "return receipt" to be sent after the original message has been selected for viewing by the receiving department/person. **Vendor Response (written narrative here):**				
AC 11.2-13	**Case Status Flags and Related Notifications** Transitions in the state (status) of the case and of the parties/ participants create an event used by the application: 1. Account in Collection Status 2. Case Expunged 3. Defendant Deceased 4. Defendant Serving in Military 5. Indigent (see **DN 2.1.2 Indigent Status Flag**) 6. Interpreter Needed 7. Monetary Balance Owing 8. No Scheduled Next Event 9. Petition to Revoke Filed 10. Victim in Case **Vendor Response (written narrative here):**				
AC 11.2-14	**Notification - Case Status Notification Actions** Enable a user to take action based on the user's notification display for each department as defined within the Department Master table (see **DN 14.4-0X Department Master Table**):				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	• Sort messages by Defendant Name by Case Number by reverse Date/Time Created • Display the elements in **RD 11.2-03 Display of Ticklers and Messages/ Notifications** • Enable a user to select a message for further processing • Enable a user to delete a message • Enable a user to forward the message to one or more departments • Enable a user to add a comment which will prefix the original message text. • Enable a user to print the message • When the receiving Department is identified as having "Automatic Message Deletion", delete the specified message after the user has returned to the Message Display from their review/processing of the specified message **Vendor Response (written narrative here):**				
AC 11.2-15	**Implement Process Activities of This Business Capability** The system is able to implement the Process Activities of this business capability. **Vendor Response (written narrative here):**				
DE 11.2-01	**Import Alerts, Ticklers and Notifications from Court Case Management** Alerts, ticklers and notifications applied to persons and courts cases are imported to also apply to court cases imported. **Vendor Response (written narrative here):**				
DE 10.2-02	**Notify External Organizations** Create locally configurable notifications for other organizations, like prosecutor or police department. **Vendor Response (written narrative here):**				
DN 11.2-01	**Department Master Table** This table contains the departments used during generation of messages/ notifications as “to” and “from” fields (e.g., Clerk, Court Administration, Court Reporter, Probation, Prosecution). **Vendor Response (written narrative here):**				
DN 11.2-02	**Initial Values of Person/ Case-Level Status Flags** At case initiation the default value of person-level and case-level status fields is ‘Off. **Vendor Response (written narrative here):**				
DN 11.2-03	**Automatic Update of Person-Level and Case-Level Status Flags** Person-level and case-level status flags are turned ‘On’ automatically when status changes, and ticklers are turned ‘On’ either automatically when an event occurs in a workflow or manually. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 11.2-04	**Case/ Defendant Statuses – Action Correlation Table** This table contains data for each case status and defendant state identified in **BR 14.4 Case/ Defendant Statuses – Action Correlation Table**, and a corresponding action related to each state. **Vendor Response (written narrative here):**				
DN 11.2-05	**Tickler Escalation Parameter** The number of hours parameter, after which a tickler that has not been responded to is escalated to a user's supervisor. **Vendor Response (written narrative here):**				
DN 11.2-06	**Case Inactivity Parameter** The number of hours parameter, after which a tickler that has not been responded to is escalated to a user's supervisor. **Vendor Response (written narrative here):**				

12 General High-Level Functional and Technical Requirements

This section describes some of the general and technical requirements that will be required of a Supervision Case Management System (CMS). Additional requirements that apply across all functional areas are set forth in sections **11.1 Modify Work Procedures to Respond to Changed Events and Conditions** and **11.2 Use the Case Status to Trigger Actions**.

12.1 Technical Environment

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
12.1-01	1. The proposed solution is required to allow Supervision officers and staff to view, collect, store, analyze, share and safeguard case and person information in all courts in an efficient and cost-effective manner, because parties may have cases in more than one division at a time, and Supervision officers and staff need visibility to more than one at the same time. 2. The proposed solution must not allow limited or no access to juvenile court information to department staff outside the Juvenile Division. **Vendor Response (written narrative here):**				
12.1-02	The proposed solution must support separate configurations for each of the three divisions. **Vendor Response (written narrative here):**				
12.1-03	The proposed solution must support virtualization, and include a multi-tier architecture: 1. Front End: Web-based using standard browser 2. Middleware such as IIS or Tomcat -- Distributed where required				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
	3. Database: Must be ODBC-compliant relational database **Vendor Response (written narrative here):**				
12.1-04	Describe the system architecture (e.g., browser, n-tier, thin client, etc.) of your application. Identify any particularly beneficial aspects of this architecture. Provide diagrams as needed. **Vendor Response (written narrative here):**				
12.1-05	The proposed solution's data tier must include transaction-level backup and restoration. **Vendor Response (written narrative here):**				
12.1-06	High Availability The Supervision CMS is a round-the-clock system (7 x 24 x 365) that must have reliability and high availability. The system may operate in a reduced capacity should an issue such as hardware failure occur. In such a case, no data is lost or corrupted and the user can perform all system functionality, albeit with slower response times. Describe the uptime and availability which can be expected of this system. Identify any factors which will affect uptime. **Vendor Response (written narrative here):**				
12.1-07	Describe how the proposed solution will be shown to meet benchmarks established for user testing and acceptance. These benchmarks will include items such as: • The number and types of defects that will be allowed for production, • Response time with a load of 500 concurrent users -- Describe the response time which can be expected of this system. Identify any factors which will affect response time. **Vendor Response (written narrative here):**				
12.1-08	Hardware to be used with the proposed solution must be scalable to fit current and future needs of the Court of Common Pleas, and the vendor must supply recommended, not minimal, hardware specifications. **Vendor Response (written narrative here):**				

12.2 Technical Support

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
12.2-01	Routine maintenance must not impact online availability or performance. Describe maintenance process **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
12.2-02	Provide a non-production training environment including the ability to periodically copy the production database to training database. Allow both production and training databases to be accessed simultaneously without cross linking or cross contamination. **Vendor Response (written narrative here):**				
12.2-03	Include a development database for testing of program changes. Allow both production and testing databases to be accessed simultaneously without cross linking or cross contamination. **Vendor Response (written narrative here):**				
12.2-04	Provide data-dictionary, ER diagrams, and user manuals for the system. The vendor must provide updated documents with each release/update. **Vendor Response (written narrative here):**				

12.3 Security and Audit

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.3-01	Provide application-level audit trails that show which users and workstation addresses logged onto the system, when they logged on, and what part(s) of the system and database(s) they accessed (e.g., to detect unauthorized browsing) during a specified period; permit audit trails to be accessed, stored, archived, and purged. **Vendor Response (written narrative here):**				
12.3-02	Provide for the archiving and retrieval of all case records. **Vendor Response (written narrative here):**				
12.3-03	Describe document redaction capabilities included in the application. **Vendor Response (written narrative here):**				
12.3-04	The application must maintain a historical record of all changes made to the system's components. It must ensure that system error and events for software, hardware, interfaces, operating system, and network are written to a system event log accessible and searchable by a system administrator. The system administrator must be able to easily monitor the system status directly or remotely. **Vendor Response (written narrative here):**				

12.4 Configurability

Req. #	Requirement	Response Code	Estimated Hours to Customize

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.4-01	Configure searches appropriate to case type **Vendor Response (written narrative here):**				
12.4-02	Provide configurable workflows including the ability to modify a sequence of steps for capturing and presenting data within the application. **Vendor Response (written narrative here):**				
12.4-03	Provide an ad hoc report generation tool for users to prepare their own reports. **Vendor Response (written narrative here):**				
12.4-04	Able to add customized reports to be run at the user level. **Vendor Response (written narrative here):**				
12.4-05	Provide the functionality to configure business rules. **Vendor Response (written narrative here):**				
12.4-06	New Data Fields Enable configuring of the system by adding new data fields to any table without corrupting pre-existing records: a. Values for data fields b. Free text fields c. Formatted data fields d. Calculated fields **Vendor Response (written narrative here):**				
12.4-07	Provide a set of dashboard performance metrics (e.g., CourTool measures) that can be selected by individual users, according to their role in the organization. **Vendor Response (written narrative here):**				
12.4-08	Display only relevant/available code table values on data entry screens. For example, criminal codes will not be displayed when working on a civil case; pre-disposition codes will not be displayed when a case is in post-disposition status. **Vendor Response (written narrative here):**				
12.4-09	Enable configuring an unlimited number of case-types (including program types) and associate each case-type with the following (e.g., referrals to such programs as mediation, problem-solving court, counseling, classes): a) Code tables values b) Docket codes c) Event-types d) Document types generated e) Data fields f) Calendars **Vendor Response (written narrative here):**				

12.5 User Interface

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.5-01	Provide keyboard input alternatives to any "point and click" operation. **Vendor Response (written narrative here):**				
12.5-02	Able to interrupt an entry in the middle of the transaction to perform another activity such as an online search to answer an inquiry and then resume the interrupted transaction. **Vendor Response (written narrative here):**				
12.5-03	Provide auto fill date/time entry fields but allow for manual date change. The solution must have the ability to display a calendar to select from to populate the date fields. **Vendor Response (written narrative here):**				
12.5-04	Provide an on-line help option based on process and should be context sensitive. This help function must be integrated and include screen-shots. **Vendor Response (written narrative here):**				
12.5-05	1. The proposed application must be easily managed through graphical user interfaces. The system must allow for secure remote administration as well as on-site administration. The administration functions must include at a minimum: • User account and password management, • System security management, • System log review and maintenance, • System reports, • Notification management, • Software threshold parameter management, and • System and database backup initiation. **Vendor Response (written narrative here):**				
12.5-06	Support the concept of individual and shared work queues which are lists of pending work items across multiple functions. This should be facility specific. A person with a specific responsibility in a facility should be able to view only the queue for their function. **Vendor Response (written narrative here):**				
12.5-07	Provide spelling and grammar check. **Vendor Response (written narrative here):**				
12.5-08	Information displayed in a table may be sorted or resorted by clicking on a column header title. The column will then alternate between an ascending and descending display with each mouse click. Only one column may show as sorted. Any additional columns selected will unselect any prior sort. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.5-09	Dropdown List Selection Provide a limited set of data from which to choose. Select the list box with a left mouse click or the tab key. Select the data with a left mouse click or the up and down arrow keys. The user starts typing in the characters corresponding to the desired data value. The system will attempt to find a data value matching the character(s) that have been entered. If the value displayed matches the value desired, pressing the tab key selects that value and moves to the next field. Pressing the Delete key will clear the value that has been selected. **Vendor Response (written narrative here):**				
12.5-10	Auto fill date/time entry fields but allow for manual date change. **Vendor Response (written narrative here):**				
12.5-11	Display a calendar to select from to populate date fields. **Vendor Response (written narrative here):**				

12.6 Interfaces/ Data Exchanges

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.6-01	The proposed solution must support/accommodate the incorporation of specific, existing interfaces currently used by the Supervision offices. The proposed solution must support/accommodate the incorporation of specific, interfaces specified by proposing an integration architecture. **Vendor Response (written narrative here):**				
12.6-02	Support data exchange standards such as the National Information Exchange Model (NIEM) and a Service Oriented Architecture conforming to the Global Reference Architecture (GRA). **Vendor Response (written narrative here):**				
12.6-03	Support an interface to a document management solution that allows documents to be viewed based on a specific case number. **Vendor Response (written narrative here):**				
12.6-04	Provide for the integration with county email system. **Vendor Response (written narrative here):**				

B. Demonstration Scenarios of Supervision Case Management

A high-level description of a business capability is a scenario. A demonstration scenario is a sequence of events that Supervision Department staff will experience when performing a Supervision function, for use during system procurement. Participant scenarios provided in an RFP will notify case management system vendors what activities their CMS should be able to

support, and will serve as a script for vendor demos and for product acceptance testing.

This section contains scenarios that each proposer will be expected to demonstrate if selected as a finalist. Proposers are not expected to respond to these scenarios in their written proposals.

1.1 Jail Release

1. Interview Inmate
    a. Collect information based on a configurable set of interview questions in the assessment tool, with information in the categories: demographics, references, verifications, addresses, living environment, family factors, education, employment, financial resources, history of drug use, risk factors, criminal history, health and mental health factors, and impairments or disabilities
    b. Show risk assessment scoring to assign the inmate to a risk category, and enter a release recommendation code.
    c. Enter jail visit and assessment in event log
2. Recommended Bond and Court Date
    a. Look up defendant's criminal history, and enter recommended bond amount based on established criteria.
    b. Override bond amount (where bond was pre-set by judge on warrant).
    c. Schedule defendant for arraignment.
3. Release
    a. Note details of release (e.g., OR, bail), including who set the bail amount
    b. Notify jail of release by court
    c. Enter release in Supervision event log (ROA)
    d. Record results of detention release recommendations and conditions imposed.

1.2 Assessments

1. Conduct Initial Assessment
    a. View list of defendants/ youth for initial assessment
    b. Conduct initial assessment
    c. Override assessment level
2. Conduct Re-Assessment
    a. View list of defendants/ youth for reassessment
    b. Conduct re-assessment
    c. Modify a scheduled reassessment date
3. Assessment Reports
    a. List of defendants/ youth awaiting initial assessment.
    b. List of defendants/ youth scheduled for reassessment.
    c. Assessment reports: monthly, quarterly and annually.
    d. List summary of assessment overrides

1.3 Adult Supervision

1. Case Initiation
    a. Generate supervision case number using booking number.

   b. Enter reason for initiation (e.g., new case, interstate transfer, previously closed case that has been reopened).
   c. Search for defendant in system and initiate supervision case.
   d. Enter intake information.
   e. Determine expiration date of probation and set tickler seven days before expiration.
2. Case Assignment
   a. Randomly assign a case to a Supervision officer.
   b. Provide notification of initiated case to Supervision officer with required completion dates, if any, and enter notification in event log.
3. Case Planning
   a. Display supervision case summary.
   b. Administer risk assessment and enter recommendation (automatic entry in event log).
   c. Link current case with defendant's other active Supervision cases.
   d. Identify resources and referrals.
   e. Generate and record referrals for services and programs (e.g., counseling, treatment, education, employment, electronic monitoring) (automatic entry in event log).
   f. Schedule appointments and contact dates, and set ticklers.
   g. Outline/ schedule tasks associated with a case, e.g., reports, client contacts (daily, weekly, monthly, call-in to clerical staff), updates, etc.
4. Monitoring
   a. Case inquiry screen – display the status of a case at a glance.
   b. Record contact with defendant in event log (call-in to staff, phone call, office visit, home visit).
   c. Enter case notes.
   d. Update new employment information.
   e. Configure an alert "Immediate Attention" on defendant's person record.
   f. Configure a "Failure to Report" flag in the event log that causes generation of a paper notification to be mailed to defendant.
   g. Track substance abuse testing (e.g., drug, alcohol) and results of those tests:
      i. Establish a daily drug testing schedule.
      ii. Enter drug test results (or view test results report attached by service provider) (automatic entry in event log).
      iii. Produce drug testing reports.
   h. Referrals
      i. Track progress, compliance (e.g., payment of probation fees, fines and restitution), and completion of referrals for services and programs.
      ii. Track incentives and sanctions, record program violations and phase changes, and track progress in therapy educational or vocational

programs, community service, appointments, units of service, supervision contacts, and community support programs.

iii. Record information on completion of programs administered by agencies outside the Supervision Department, or other program providers (e.g., behavioral counseling, anger management, alcohol safety).

i. GPS Tracking

i. Record GPS device serial # in client file.

ii. Enter count of GPS alerts from online system.

iii. Record GPS violations (e.g., exclusion zone, date, recommendation, judge approve/deny recommendation).

5. Violation/Revocation
   a. Track attempts to contact probationer in event log.
   b. Generate motion to revoke bond and route to court administration for docketing.
   d. Generate request to continue probation "status report" and route to judge.
6. Case Closure
   a. (Before demo, set up expiration of supervision period to generate tickler notification) Check case record for compliance seven days before end of probation.
   b. Remove future dates and active ticklers in case.
   c. Mark case closed and record sending paper file to storage.

1.4 Programs

1. Maintain class schedule – regular and ad hoc
2. Assign clients to classes
3. Record initiation of the client in program and the status of the defendant/ youth in the program.
4. Record acceptance or rejection of the individual, reason for rejection, if he or she refused to participate, etc., and track releases signed by defendants/ youths
5. Record receipt of payment for program
6. Capture the results of screenings and assessments, including history of drug use, risk factors, criminal history, health and mental health factors, impairments or disabilities, family factors, living environment, employment, education, and financial resources.
7. Maintain treatment plans, supervision case plans, conditions of participation, etc.
8. Record class attendance (including walk-ins)
9. Automatically dismiss an enrolled client after misses three classes (allow override)
10. Track supervision contacts, including home, school, and employment visits by Supervision officers; and all case manager and third party contacts.
11. Track participation in counseling sessions and restrictions imposed on the individual
12. Reinstate a client who enrolled previously but did not complete the program.
13. Capture graduation and termination data, including program exit questionnaires

14. Generate certificate and standard letter.

1.5 Pre-Sentence Investigation

1. Record request for presentence investigation
2. Notify the report section which prepares the PSI
3. Set due date for PSI report
4. Establish checklist of PSI tasks
5. Schedule appointments
6. Enter criminal history, notes from interview, risk assessment, and recommendation
7. Generate and transmit PSI report to supervisor for review

1.6 Community Service

1. Enrollment
   a. Enroll a provider
   b. Enroll an offender and note reason for enrollment
2. Scheduling
   a. Enter a provider's needs (schedule, # of offenders)
   b. Schedule an offender for community service and allow providers to know the schedule
3. Record service
   a. Enter/verify hours served (as a group and individually)
   b. Record a walk-in
   c. Generate community service report and automatically docket it in multiple defendant/ youth event logs, update case record, and send to assigned probation officers
   d. Note failure to appear and action taken
   e. Generate notification of non-compliance to probation officer
   f. Generate a report showing an offender's service hours completed and remaining

Attachment 4: Jail and Detention Management Capabilities and Scenarios

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A. Introduction to Jail and Detention Management System Requirements

These requirements for a Jail and Detention management system (JMS) are based on business capabilities which describe what jail and detention facility staff do in the course of managing their operations. Business capabilities incorporate the goals and performance objectives of the organization, and are broken down in further detail, in detailed business capabilities.

Business capabilities incorporate the goals and performance objectives of courts and clerks, and are broken down in further detail, in detailed business capabilities. Business rules, process activities, reports/ displays, application capabilities and data needs related to detailed business capabilities follow the numbering scheme of the business capabilities. Vendors are to respond to the requirements in the matrix.

1) Vendor Responses to Matrix of Requirements

The requirements which vendors will respond to are contained in a requirement matrix with the following format:

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
Reference Number	Title of Requirement Description of Requirement **Vendor Response (written narrative here):**				

Legend of Response Codes:

- I = Included
- C = Must Customize to meet requirement – and estimated hours to customize
- N = Not Supported (not willing or able to customize)

2) Notable Characteristics of the Jail and Detention Management System

Multiple Facilities

1. Lucas County Correctional Center –LCCC Pretrial Detention/ Jail (Sheriff's Office)
2. Juvenile Detention Center – JDC (Juvenile Division of the Court of Common Pleas)
3. Youth Treatment Center – YTC (Juvenile Division of the Court of Common Pleas)
4. Correctional Treatment Facility – CTF (General Division of the Court of Common Pleas) – a defendant may be sentenced to the CTF and Work Release at the same time
5. Work Release Department (General Division of the Court of Common Pleas)

Separation of Juvenile Data from Adult Data.

Vendors are notified here of the non-functional requirement that juvenile detention data must be inaccessible to adult jail/ detention users.

Terminology for People and Events for System Configuration.

- Adults in the LCCC jail and CCNO Corrections Center are referred to as inmates.
- Adults in the Correctional Treatment Facility (CTF) are referred to as clients.
- Juveniles in the Detention Center and the Youth Treatment Center are referred to as youth.
- Adults or juveniles are referred to as residents where an inclusive, non-specific term is needed.
- Adults enter a jail go through a booking process; juveniles go through an intake process for an admission.

- Adults may be subject to segregation; juveniles to administrative removal.

3) Sections of the Jail and Detention Management System RFP:

- Business Capabilities and requirements matrix (this document)
- Demonstration Scenarios (this document)
- Non-Functional Requirements
- Existing Interfaces (this document)
- Desired Data Exchanges
- Legacy Data Structures

1 General High-Level Functional and Technical Requirements

This section describes some of the general and technical requirements that will be required of a Jail/Detention Management System (JMS). Additional requirements that apply across all functional areas are set forth in sections **28 Modify Work Procedures to Respond to Changed Events and Conditions** and **29 Use the Booking/ Admission Status to Trigger Actions**.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
1-01	1. The proposed solution is required to allow adult jail and detention facility officers to view, collect, store, analyze, share and safeguard inmate/ detainee information in all adult facilities in an efficient and cost-effective manner, because defendant/ inmates may move between the facilities or be sentenced to more than one at the same time. 2. The proposed solution must not allow access to juvenile detention information to officers in adult jail and detention facilities. **Vendor Response (written narrative here):**				
1-02	The proposed solution must support separate configurations for each of the six facilities. **Vendor Response (written narrative here):**				
1-02	The proposed solution must support virtualization, and include a Multi-Tier architecture: 1. Front End: Web-based using standard browser 2. Middleware such as IIS or Tomcat -- Distributed where required (e.g. multi-site facilities) 3. Database: must be ODBC-compliant relational database **Vendor Response (written narrative here):**				
1-03	The proposed solution's data tier must include transaction-level backup and restoration. **Vendor Response (written narrative here):**				
1-04	The proposed solution must meet benchmarks established for user testing and acceptance phase. These benchmarks will include items such as: 1. The number and types of defects that will be allowed for production, 2. Response time with a load of 500 concurrent users, and 3. Access time for users in the current environment. **Vendor Response (written narrative here):**				
1-05	Hardware to be used with the proposed solution must be scalable to fit current and future needs of the Jail, the Correctional Center, and detention facilities operated by the Court of Common Pleas, and the vendor must supply the hardware specifications. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
1-06	The proposed solution must support the importing of basic demographic information from external biometric identification databases. **Vendor Response (written narrative here):**				
1-07	The proposed solution must support/accommodate the incorporation of specific, existing interfaces currently used by the Jail and the Correctional Center. The Vendor must review this attachment and describe how the Vendor's solution will support the continuity of these existing interfaces at each facility. **Vendor Response (written narrative here):**				
1-08	Provide configurable workflows including the ability to modify a sequence of steps for capturing and presenting data within modules. **Vendor Response (written narrative here):**				
1-09	Provide a system-wide audit trail and must log the creation, modification and deletion of records to include, at a minimum, the following information: 1. User ID 2. Station ID 3. Time stamp **Vendor Response (written narrative here):**				
1-10	Provide for the archiving and retrieval of all inmate/ detainee records. **Vendor Response (written narrative here):**				
1-11	The proposed solution must be ODBC Compliant. It is preferred that the proposed solution include integration with Crystal Reports or a similar tool for Ad-Hoc Reporting. **Vendor Response (written narrative here):**				
1-12	Able to add customized reports to be run at the user level. **Vendor Response (written narrative here):**				
1-13	Provide for the integration with Jail and Correctional Center email system. **Vendor Response (written narrative here):**				
1-14	Support data exchange standards such as the National Information Exchange Model (NIEM) and an Service Oriented Architecture conforming to the Global Reference Architecture (GRA). **Vendor Response (written narrative here):**				
1-15	Provide a non-production training environment including the ability to periodically copy the production database to training database. Allow both production and training databases to be accessed simultaneously without cross linking or cross contamination. **Vendor Response (written narrative here):**				
1-16	Include a development database for testing of program changes. Allow both				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
	production and testing databases to be accessed simultaneously without cross linking or cross contamination. **Vendor Response (written narrative here):**				
1-17	Include spelling and grammar check. **Vendor Response (written narrative here):**				
1-18	Include training for all staff members and train the trainer sessions, coinciding with: 1. Pre-implementation, 2. During implementation phases, and 3. Post-implementation. In addition, the vendor can propose web based training delivery option to include onsite interactive sessions <u>and</u> recorded sessions to be replayed later by the end-users. **Vendor Response (written narrative here):**				
1-19	The successful vendor must provide a tiered-level of technical support up to and including 24 x 7 x 365. **Vendor Response (written narrative here):**				
1-20	The successful vendor must provide the data-dictionary, ER diagrams, and user manuals for the system. The vendor must provide updated documents with each JMS release/update. **Vendor Response (written narrative here):**				
1-21	Provide auto fill date/time entry fields but allow for manual date change. The solution must have the ability to display a calendar to select from to populate the date fields. **Vendor Response (written narrative here):**				
1-22	Provide an on-line help option based on process and should be context sensitive. This help function must be integrated and include screen-shots. **Vendor Response (written narrative here):**				
1-23	The Jail/ Detention Management System is a round-the-clock system (7 x 24 x 365) that must have reliability and high availability. The system may operate in a reduced capacity should an issue such as hardware failure occur. In such a case, no data is lost or corrupted and the user can perform all system functionality, albeit with slower response times. The Bidder must describe how their proposed solution and system configuration will meet the high availability requirement. **Vendor Response (written narrative here):**				
1-24	1. The proposed inmate/ detainee management system must be easily managed through graphical user interfaces. The system must allow for secure remote administration as well as on-site administration. The administration functions must include at a minimum:				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
	a. User account and password management, b. System security management, c. System log review and maintenance, d. System reports, e. Notification management, f. Software threshold parameter management, and g. System and database backup initiation. 2. The system must maintain a historical record of all changes made to the system's components. It must ensure that system error and events for software, hardware, interfaces, operating system, and network are written to a system event log accessible and searchable by a system administrator. The system administrator must be able to easily monitor the system status directly or remotely. 3. The system must have backup system that allows backup of the system and databases without interfering with inmate/ detainee management operations, as well as restoration of the system and databases in the event of system or database failure. **Vendor Response (written narrative here):**				
1-25	Support the concept of individual and shared work queues which are lists of pending work items across multiple functions. This should be facility specific. A person with a specific responsibility in a facility should be able to view only the queue for their function. **Vendor Response (written narrative here):**				
1-26	Provide the functionality to configure business rules, locations, and other items applicable to a facility. **Vendor Response (written narrative here):**				
1-27	New Data Fields Enable configuring of the system by adding new data fields to any table without corrupting pre-existing records: a. Values for data fields b. Free text fields c. Formatted data fields d. Calculated fields **Vendor Response (written narrative here):**				
1-28	Support an interface to the On Base document management solution that allows documents such as the Arrest Ticket and other related documents to be viewed based on a specific booking number. **Vendor Response (written narrative here):**				

Booking and Release

This section described the activities that are conducted in the Intake and Bookings area of the Lucas County Jail and other facilities. A number of major activities are conducted in this area. They are:

- Intake
- Property
- Release

The requirements for each of these areas are detailed below.

2 Intake – Entry & Update of Person Data

2.1 Business Capability Description

This section describes the detailed application capabilitiesthat support the Intake process. The primary activities conducted are:

- **Prior Information Search**. This is done to identify if the inmate/ detainee has been in the facility previously so that the RID (Inmate/ Detainee Person ID) or generate ID Number can be used.
- **RID/ ID number creation**. This number is the person identification number that is created for a new inmate.
- **Initial review**. This is done to ensure that all papers are in order for the inmate/ detainee to go through the Intake process and the inmate/ detainee has no emergency medical issues
- **Booking information**. Information such as inmate/ detainee demographics, charges and other relevant information is collected from the inmate/ detainee and recorded.
- **Fingerprinting.** This is done to confirm identity of the inmate. If a temporary R&I number is assigned, it is changed after the fingerprint verification process is completed.
- **Mug shot.** The inmate/ detainee photos are captured.
- **Arm band printed.** The arm band is the mechanism for identifying the inmate/ detainee during the inmate's stay in the facility.

The inmate/ detainee goes through other processes such as Property, Medical and Mental Health screening. The requriements for these are documented in their own process. It is anticipated that the Medical and Mental Health requirements will be met by a Medical Electronic Record system that will be integrated with the JMS system.

The new JMS system would need to integrate tightly with the Mug Shot system. It is anticipated that this system would be manipulated within the JMS system. It is also anticipated that the Fingerprinting system will be sent information from the JMS system to avoid duplicate data entry of data captured in the JMS.

The JMS captures inmate/ detainee data for purposes of booking/ intake. These are the same capabilities as for maintaining this information as it changes.

2.2 Business Rules

Specific business rules for each of the sub processes will be identified during the Requirement Verification process.

2.3 Process Activities

The following activities occur during the Intake process.

1. Identify Inmate/ Detainee
2. Enter/ Import/ View Intake Information
3. Check Criminal History including Wants and Warrants
4. Use Livescan to

5. Take Mugshot
6. Conduct DNA check
7. Print ID Card/ Wristband

2.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

2.4.1 General

1. Configure workflow for the Intake area

2.4.2 Conduct Search for Prior Information

1. Search for prior inmate/ detainee record

2.4.3 Capture Booking Information

1. Create a new RID# for an inmate
2. Link current booking to existing RID#
3. Create a new Booking number
4. Capture Booking Information for the inmate
5. Use of Booking Status dashboard

2.4.4 Capture Inmate/ Detainee Photos

1. Capture inmate/ detainee photos
2. Capture imates of Scars, Marks, Tattoos and Piercings

2.4.5 Merge Duplicate RID Numbers

1. Identify a duplicate RID Number
2. Select the previous RID Number for that inmate/ detainee as the master RID Number
3. Merge the information from the duplicate RID Number into the previous RID Number

2.4.6 Workflow Tracking

1. Create intake stations
2. Process an inmate/ detainee through intake
3. Display time spent at each station during the intake process

2.4.7 Compile and Print Inmate/ Detainee Information

1. Compile and Print Inmate/ Detainee Lucas County Criminal History
2. Compile and Print the Inmate/ Detainee RAP Sheet.

2.5 Detailed Application Capabilities

This section lists the detailed application capabilities for:

1. Booking/ Admission;
2. Photo Identification/Mug Shots;
3. Fingerprint Identification; and
4. Inmate/ Detainee Records

2.5.1 Booking/ Admission

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
2.5.1-01	Able to record booking/ admission information for every inmate/ detainee admitted to the facility. **Vendor Response (written narrative here):**				
2.5.1-02	Able to generate and/or assign a new unique RID Number for an inmate/ detainee, or an automatically-generated ID Number. The solution must also store and display the historical RID Number or ID Number. **Vendor Response (written narrative here):**				
2.5.1-03	Able to search the database for an inmate/ detainee using identifying information before assigning a RID Number or ID Number. **Vendor Response (written narrative here):**				
2.5.1-04	Provide a method to remove or combine RID Numbers and ID Numbers and any associated data as errors or duplications are detected. A history of such corrections must also be maintained. This number must be tied to the inmate/ detainee name and any alias they may also have, legal or otherwise. **Vendor Response (written narrative here):**				
2.5.1-05	Able to generate a unique Booking/ Intake Number for inmates/ detainees with each new booking/ intake. **Vendor Response (written narrative here):**				
2.5.1-06	Differentiate between different inmate/ detainee types: Pre-Trial, Sentenced, Work Release, Treatment, Male/Female, Juvenile, Federal, etc. **Vendor Response (written narrative here):**				
2.5.1-07	Able to locate any active or inactive inmate/ detainee information based on person demographics search criteria. **Vendor Response (written narrative here):**				
2.5.1-08	Able to use a partial or full copy of inmate/ detainee information from a previous booking/ admission into the current booking/ admission. The proposed solution must maintain all previous booking/ admission information (e.g. photos, tattoos, classification, transportation, alerts, etc.). **Vendor Response (written narrative here):**				
2.5.1-09	Able to mark some fields as mandatory in the booking or intake process. Mandatory fields are agency- or facility-specific. **Vendor Response (written narrative here):**				
2.5.1-10	Able to pre-configure the booking or intake process. This “navigator” enables selection of the booking/ admission screens and their order that need to be accessed during the booking/ admission procedure. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
2.5.1-11	Able to record all identifying information that an inmate/ detainee has previously used, such as names, social security numbers, or dates of birth. The system should allow for the selection of a primary identifier. (Ex: A primary identifier marks which of the listed DOBs is the primary DOB.) **Vendor Response (written narrative here):**				
2.5.1-12	Able to enter, retrieve and compare data related to the inmate's Name and Biographical Information. **Vendor Response (written narrative here):**				
2.5.1-13	Able to enter, retrieve and compare data related to the inmate's Physical Characteristics. **Vendor Response (written narrative here):**				
2.5.1-14	Able to enter, retrieve and compare data related to the inmate's Personal Information. **Vendor Response (written narrative here):**				
2.5.1-15	Able to enter, retrieve and compare data related to the inmate's address information. **Vendor Response (written narrative here):**				
2.5.1-16	Able to enter, retrieve, and compare data related to the inmate's employment and education history. **Vendor Response (written narrative here):**				
2.5.1-17	Able to enter, retrieve and compare data related to the inmate's Family and Emergency Contact Information. **Vendor Response (written narrative here):**				
2.5.1-18	Able to record and save the information that the inmate/ detainee is a veteran of U. S. Military Service. The system must also support an interface with the Pre-Trial Supervision system to get this information electronically. **Vendor Response (written narrative here):**				
2.5.1-19	Able to record that the inmate/ detainee is a registered sex offender. **Vendor Response (written narrative here):**				
2.5.1-20	Able to enter, retrieve and edit data related to the inmate's legal issues includes warrants, charges, etc.. **Response (written narrative here):**				
2.5.1-21	Able to enter the arresting agency for an inmate/ detainee. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
2.5.1-22	Able to document any enemies in the facility and show other inmates/ detainees claiming the inmate/ detainee as an enemy, showing a Reason Code (Dropdown: list of values TBD), and Seriousness the Enemy Situation (Dropdown: list of values TBD). **Vendor Response (written narrative here):**				
2.5.1-23	Able to record any escapes, attempted escapes, or situations where an inmate/ detainee aided in another inmate's escape or attempted escape. **Vendor Response (written narrative here):**				
2.5.1-24	Notify Gang Unit of STG/ Gang Data Entry Able to enter data related to Security Threat Groups/Gangs, and automatically notify the Gang Unit when an entry is entered or updated. **Vendor Response (written narrative here):**				
2.5.1-25	Provide a screening questionnaire covering predator/victim association and medical information. The solution must provide a flagging system to assist with cell/ housing unit assignment. **Vendor Response (written narrative here):**				
2.5.1-26	Able to enter data related to staff assaults. **Vendor Response (written narrative here):**				
2.5.1-27	Able to document an inmate's charges in other jurisdictions – federal, state, municipal (free text). **Vendor Response (written narrative here):**				
2.5.1-28	Ensure that new admissions update the facility count. **Vendor Response (written narrative here):**				
2.5.1-29	Provide the capability to enable appropriate staff with adequate security to merge duplicate RID numbers. **Vendor Response (written narrative here):**				
2.5.1-30	Enable facility staff to capture the time spent at each station during the booking/ admission process. This will include the start time when a specific inmate/ detainee is accepted at a station such as Medical and the end time when the inmate/ detainee has completed their medical intake process. **Vendor Response (written narrative here):**				
2.5.1-31	Review time spent at each intake station information based on each hour or by a specific inmate/ detainee and create statistical and exception reports. **Vendor Response (written narrative here):**				
2.5.1-32	Capture the appropriate information on inmates/ detainees who are classified as "weekenders." **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
2.5.1-33	Provide the ability to Add New Charges to an inmate/ detainee incarcerated at the facility without the need to re-book the inmate. **Vendor Response (written narrative here):**				
2.5.1-34	Provide a configurable intake assessment tool that allows questions to be entered during configuration, with points assigned to various responses to a question. Some questions will allow the user to enter a number, such as, "Enter 2 points for each additional warrant." The tool then calculates a total score and prints a report with the current date and user ID, and a comment/ conclusion by the user, and it can be attached to the person's record. Types of assessments include the following: 1. Screen Youth for Referral to Prosecutor 2. PREA Vulnerability 3. Suicide Assessment 4. Preassessments - Aggression, How I Think, Pride and Delinquency 5. JASSI Drug & Alcohol 6. Screen for Mediation Services 7. Prescreen for Diversion 8. Sexual Offender Assessment 9. FASD Screening 10. MAYSI 11. GAIN Short screener 12. Trauma Screening **Vendor Response (written narrative here):**				
2.5.1-35	Case Plan Based on an assessment, enable creation, maintenance and updates of a case plan for the inmate/ detainee. **Vendor Response (written narrative here):**				
2.5.1-36	Person Data Display 1. For a person being booked/ admitted, show the following data fields, with the most current entry at the top of each list: a. Name (Last Name, First Name, Middle Name, Suffix) b. Address (Type Dropdown: Mail, Residence, Legal), Date Entered) c. E-mail Address (Type Dropdown: Home, Cell, Work 1, Work 2, Other), Date Entered, Primary checkbox d. Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), Date Entered, and Primary checkbox e. Youth's mother and contact information f. Youth's father and contact information g. Youth's guardian and contact information h. Arrest warrants i. Bail posted and case numbers j. Probation status and probation officer k. Person-based alerts l. Alias(es) m. Gang affiliation n. FBI Number				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	o. BCI Number p. ODRC Number q. ITN Packet Number r. Victim(s) No Contact s. Attorney t. Guardian ad Litem u. Caseworker/ Agency v. Interpreter Needed and Language 2. Display current Address first, then addresses in address history. 3. Display all Case Numbers with the same RID Number or ID Number. **Vendor Response (written narrative here):**				
2.5.1-37	Medical Conditions Enable capture of answers to medical questions: a. Received treatment for condition: Yes/No. i. If yes, what hospital (free text) ii. If refused treatment, what two hospitals did he/she refuse treatment (free text) b. Tased before booking: Yes/No i. If yes, what hospital treated (free text) **Vendor Response (written narrative here):**				

2.5.2 Photo Identification Mug Shots

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
2.5.2-1	Able to document and photograph an inmate, including front and profile photos. **Vendor Response (written narrative here):**				
2.5.2-2	Able to document and photograph an inmate's scars, marks, tattoos and piercings. **Vendor Response (written narrative here):**				
2.5.2-3	Able to produce an identification card including wristbands and ID cards. **Vendor Response (written narrative here):**				
2.5.2-4	Able to capture and store multiple iterations of photographs to reference, including Intake and Release mug shots. **Vendor Response (written narrative here):**				
2.5.2-5	Able to search for inmates/ detainees by tattoos/ markings. For Example: The system must be able to search for the inmate/ detainee by searching a tattoo description or by searching for a tattoo location on the body. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
2.5.2-6	Able to capture a photo at a remote location and bring that photo back and load it into the system. **Vendor Response (written narrative here):**				
2.5.2-7	Able to generate a photo lineup of inmates/ detainees for investigative purposes. The photo line up should have the option of selecting criteria for the selection of 6-8 inmates/ detainees as well as the ability to print all targets on one sheet or 1 target/photo per sheet. **Vendor Response (written narrative here):**				
2.5.2-8	Able to take photos using a variety of equipment including USB cameras with mouse driven pan-tilt-zoom-center and flash configurations. **Vendor Response (written narrative here):**				
2.5.2-9	Search on photo demographics such as skin color, hair, eyes, height, weight, facial hair, glasses. **Vendor Response (written narrative here):**				
2.5.2-10	Display the inmates's photograph on all inmate/ detainee information screens. **Vendor Response (written narrative here):**				

2.5.3 Finger Print Identification

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
2.5.3-01	Interface with Lucas County's AFIS system to enable information to be sent electronically to the AFIS system. **Vendor Response (written narrative here):**				

2.5.4 Inmate/ Detainee Records

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
2.5.4-01	Able to create an inmate/ detainee identification card or armband. **Vendor Response (written narrative here):**				
2.5.4-02	Retain existing inmate/ detainee history and enable integration of new entries to the inmate/ detainee history. **Vendor Response (written narrative here):**				

2.5.4-03	Provide the ability to link all individual bookings/ admissions for the same inmate/ detainee using the RID Number or ID Number. **Vendor Response (written narrative here):**				
2.5.4-04	Provide the ability to track whether DNA: a. Should be collected b. Has been collected, with the date **Vendor Response (written narrative here):**				
2.5.4-05	Able to compile and print the inmate's Lucas County Criminal History. **Vendor Response (written narrative here):**				
2.5.4-06	Enable a record expungement process. **Vendor Response (written narrative here):**				
2.5.4-07	Able to hide expunged records with ability for Law Enforcement to view these records as required. **Vendor Response (written narrative here):**				
2.5.4-08	Able to place holds on an inmate, and show Hold Type (Dropdown: Immigration, Ohio, Out-of-State, Municipal) **Vendor Response (written narrative here):**				
2.5.4-09	Able to record release conditions (Dropdown: Electronic Monitoring bond, Doyle Hold) **Vendor Response (written narrative here):**				

3 Property

This section describes the requirements that support the Inmate/ Detainee Property process.

3.1 Business Capability Description

The inmate/ detainee property is inventoried and recorded on forms. Any monetary property is currently sent to the accounting person that takes care of entering it into the Inmate/ Detainee Accounting system.

Once the Inmate/ Detainee gets an Booking/ RID number the property is transferred to a black bag which has a bag number. This number is then recorded on a form. At the time of release, the property is handed over to the inmate. If the inmate/ detainee does not take the property at that time for some reason, the property is stored for a specific time and then disposed.

3.2 Business Rules

There are no high level business rules that apply to this section. Specific business rules will be idnetified during the Requirement Verification process.

3.3 Process Activities

1. Items Issued to Inmate
2. Receipt for Items Taken From Inmate
3. Exchange or Dispose Property

4. Inventory Property if Abscond or Removed
5. Property Release

3.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

3.4.1 General

1. Configure bag numbers by facility
2. Configure property storage areas by facility

3.4.2 Receive Inmate/ Detainee Property

1. Record inmate/ detainee property
2. Record money collected from inmate
3. Assign the property to a bag number
4. Issue Property Receipt

3.4.3 Transfer Inmate/ Detainee Property

1. Transfer Inmate/ Detainee property to another facility

3.4.4 Dispose Inmate/ Detainee Property

1. Record disposal of Inmate/ Detainee property
2. Release bag into circulation

3.4.5 Search Inmate/ Detainee Property

1. Search for Inmate/ Detainee property information based in parameters such as Inmate/ Detainee name, Bag number

3.4.6 Generate Reports

1. Property receipts.
2. Money receipts for weekenders and walk-ins.
3. Property disposal log.
4. List summary of disposed property.
5. List summary of money receipts.
6. List summary of property receipts.
7. List summary of returned property after mailing property.

3.4.7 Print Labels – On Demand

1. Access inmate/ detainee information
2. Print labels

3.5 Detailed Application Capabilities

This section describes the requirements that support the property process.

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
3.5-01	Able to document the control of inmate/ detainee property. **Vendor Response (written narrative here):**				
3.5-02	Able to record property collected from the inmate/ detainee and issue a property receipt. **Vendor Response (written narrative here):**				
3.5-03	Able to record facility issued property. **Vendor Response (written narrative here):**				
3.5-04	Enable the association of a bag number with an inmate **Vendor Response (written narrative here):**				
3.5-05	Enable the facility to release the bag number when the inmate/ detainee has taken back the property or the property is disposed. **Vendor Response (written narrative here):**				
3.5-06	Enable the facility to transfer the inmate's property to another facility (such as the Correctional Center) when the inmate/ detainee is moved to that facility. **Vendor Response (written narrative here):**				
3.5-07	Able to document the return of inmate/ detainee property. **Vendor Response (written narrative here):**				
3.5-08	Able to document the disposal of inmate/ detainee property not returned upon release. **Vendor Response (written narrative here):**				
3.5-09	Able to generate reports on property collected and released. **Vendor Response (written narrative here):**				
3.5-10	Facilitate management of property by different sites within the facility (e.g. pre-release). **Vendor Response (written narrative here):**				
3.5-11	Enable authorized personnel to review the contents of an inmate's property bag. **Vendor Response (written narrative here):**				
3.5-12	Able to record the shipment of inmate/ detainee property to the inmate's address. **Vendor Response (written narrative here):**				
3.5-13	Able to print an additional release form if the property has been entered into the system as returned. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
3.5-1	Able to print labels for folders on demand. **Vendor Response (written narrative here):**				
3.5-15	Provide the capability to record and track items such as court clothes provided to the inmate. **Vendor Response (written narrative here):**				

4 Release from Custody

4.1 Business Capabilities Description

The Jail has the responsibility to detain an inmate/ detainee until the criteria are met for release from custody through compliance with conditions, judicial process, bail, bond, transfer, or death. An inmate/ detainee can be released to the street, released to another facility, released to another agency/ jurisdiction.

In the judicial process, the court could issue a court order for release; remove charges; sentence the inmate/ detainee to “time served”; or sentence the inmate/ detainee to an extended period of incarceration. The inmate/ detainee may gain release by cash bail or surety bond. Whether the inmate/ detainee is pretrial or sentenced, conditions of custody may be fulfilled and qualify the inmate/ detainee for release.

4.2 Business Rules

There are business rules that must be met for the inmate/ detainee to be released. The specific rules will be identified during the Requirement Verification process.

4.3 Process Activities

- Run Record Check
- Return Property
- Unassign Cell/ Housing Unit, Bunk, Locker
- Remove from Roster and Count

4.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

4.4.1 Release Inmate

1. View Release Report
2. Review inmate/ detainee record
3. Enter conditions of release

4. Capture Mug Shot
5. Release inmate
6. Complete release checklist

4.4.2 Deactivate/ Activate Inmate

1. Temp release (deactivate) an inmate/ detainee serving weekend time
2. Re-book (activate) a temp released inmate/ detainee for weekend time
3. Final release if inmate/ detainee completed serving weekend time

4.4.3 Generate Reports

1. List of State Inmates/ detainees released
2. List of inmates/ detainees released on Parole or Probation
3. Release checklist
4. Trust account report
5. Daily/Monthly release reports

4.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the release process.

Req.##	Requirements	Response Code			Estimated Hour to Customize
		I	C	N	
4.5-01	1. Able to record information pertaining to the release of an inmate. 2. For work release or juvenile furlough, capture the following information: a. Time out b. Destination c. Expected return date/time d. Control Officer ID e. Time in f. Control Officer ID g. Comments **Vendor Response (written narrative here):**				
4.5-02	Able to interface with the court system to receive court orders in real time for release. **Vendor Response (written narrative here):**				
4.5-03	Able to interface with the State system to receive notice of inmates/ detainees about to complete their sentences. **Vendor Response (written narrative here):**				
4.5-04	Able to review inmate/ detainee records as part of the release authorization process and specify the release type (Dropdown: list of values): a. Transfer to State DOC b. Transfer to other county (e.g., extradition) c. Transfer to community detention **Vendor Response (written narrative here):**				

Req.##	Requirements	Response Code			Estimated Hour to Customize
		I	C	N	
4.5-05	Able to incorporate a release checklist that is configurable by facility to ensure that all actions required by policy are completed prior to release. **Vendor Response (written narrative here):**				
4.5-06	Able to record the user who authorized an inmate/ detainee release and the user who physically released the inmate. **Vendor Response (written narrative here):**				
4.5-07	Able to capture information regarding warrants checks or database searches conducted prior to an inmate's release. **Vendor Response (written narrative here):**				
4.5-08	Able to cancel a release in case of error. **Vendor Response (written narrative here):**				
4.5-09	Automate the processes of the release authorization and scheduling. **Vendor Response (written narrative here):**				
4.5-10	Able to capture a mug shot as part of the release process. **Vendor Response (written narrative here):**				
4.5-11	Support recording of inmate/ detainee transfers to other institutions or to other agencies. **Vendor Response (written narrative here):**				
4.5-12	Able to record any conditions of release. **Vendor Response (written narrative here):**				
4.5-13	Able to generate and print a "Discharge Card". **Vendor Response (written narrative here):**				
4.5-14	Able to release weekenders at the end of the weekend without performing a final release. **Vendor Response (written narrative here):**				
4.5-15	Able to perform a final release for an inmate/ detainee with a weekend sentence. **Vendor Response (written narrative here):**				

Inmate/ Detainee Services

5 Classification

5.1 Business Capabilities Description

This section discusses the detailed application capabilitiesthat support the classification process in Lucas County. The purpose of the classification process is to identify the proper custody and security levels so that the inmates/ detainees can be housed properly. classification begins with Initial Classification that is conducted at Booking/ Intake. Once this is completed, reclassification activities occur at predefined intervals based on the business rules of the facility. The exception to this if there is an event that requires the inmate/ detainee to be reclassified before the scheduled reclassification.

5.2 Business Rules

At the a high level, the system needs to be able to incorporate policies of the facilities into the classification timeframes. The detailed business rules will be identified during the Requirement Verification sessions.

5.3 Process Activities

1. Conduct initial classification
2. Identify inmates/ detainees for reclassification
3. Conduct reclassification

5.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

5.4.1 General

1. Configure Classification levels

5.4.2 Conduct Initial Classification

1. View list of inmates/ detainees for initial classification
2. Conduct initial classification
3. Override Classification level

5.4.3 Conduct Re Classification

1. View list of inmates/ detainees for reclassification
2. Conduct re-classification
3. Modify a scheduled reclassification date

5.4.4 Classification Reports

1. List of inmates/ detainees awaiting initial classification.
2. List of inmates/ detainees scheduled for reclassification.
3. Classification reports: monthly, quarterly and annually.
4. List summary of classification overrides

5.5 Detailed Application Capabilities

This section describes the requirements that support the Classification process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
5.5-01	Able to auto-recommend classification areas and what rooms are available that fit the classification requirements. **Vendor Response (written narrative here):**				
5.5-02	Able to classify or reclassify an inmate/ detainee based on the outcome of assessments and the special needs of the inmate/ detainee. **Vendor Response (written narrative here):**				
5.5-03	Able to support an objective classification system with the ability to override. **Vendor Response (written narrative here):**				
5.5-04	Able to integrate with an off the shelf classification tool. **Vendor Response (written narrative here):**				
5.5-05	Enable authorized staff to override the classification. **Vendor Response (written narrative here):**				
5.5-06	Able to automatically schedule a re-classification based on a pre-determined interval schedule, disciplinary action, program completion, or court action. There should be an ability to override these dates **Vendor Response (written narrative here):**				
5.5-07	Provide a list of upcoming classifications required due to scheduled re-classification, program completion, or court action. **Vendor Response (written narrative here):**				
5.5-08	Enable a classification officer or counselor to view previous inmate/ detainee information required for classification activities without having to go to the different modules to look at information. **Vendor Response (written narrative here):**				
5.5-09	Able to track the inmate's appeal of a classification result. **Vendor Response (written narrative here):**				
5.5-10	Enable configuration to adapt to the various classification levels followed by the facility without the need for programming. **Vendor Response (written narrative here):**				
5.5-11	Able to include the assessment for security level and for appropriate housing identification. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
5.5-12	Maintain a complete history of all classification activity on all inmates, across multiple bookings/ intakes. **Vendor Response (written narrative here):**				
5.5-13	Able to generate a report by date range of relevant classifications. **Vendor Response (written narrative here):**				
5.5-14	Able to track checks for warrants and for the Sex Offender Registry. **Vendor Response (written narrative here):**				
5.5-15	Able to track isolation days that the inmate/ detainee has spent in segregation/ administrative removal and to track any loss of sentence credits. The solution must automatically notify the appropriate staff when a specified number of isolation days have been reached. **Vendor Response (written narrative here):**				

6 Programs and Education

6.1 Business Capability Description

When implemented, the proposed solution must support the inmate/ detainee programs process in at Lucas County Jail, Correctional Treatment Facilty, Youth Treatment Center, and Juvenile Detention Center with the same approach. While there may be some differences between the approaches at the various facilities, the solution must enable the appropriate individuals to perform the following actions

1. Screen inmates/ detainees for acceptance into programs
2. Use risk/ needs instruments and record the results of the assessments
3. Move inmates/ detainees to the program housing areas (major programs only)
4. Assign them to various programs
5. Monitor their attendance and progression through each program
6. Monitor their completion of programs

6.2 Business Rules

Specific business rules for programs by facility will be defined during the Requirement Verification process.

6.3 Process Activities

1. Screen inmates/ detainees for acceptance into programs
2. Use risk/ need instruments and record the results of the assessments
3. Move inmates/ detainees to the program housing areas (major programs only)
4. Assign them to various programs
5. Monitor their attendance and progression through each program
6. Monitor their completion of programs

6.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

6.4.1 General

1. Configure program areas

6.4.2 Assess Inmate/ Detainee for Programs

1. Conduct inmate/ detainee review
2. Conduct inmate/ detainee assessment and identify specific programs
3. Create Inmate/ Detainee Plan
4. Record Inmate/ Detainee Orientation

6.4.3 Program Enrollment

1. Enroll inmate/ detainee in a program
2. Alert program staff if any Enemies exist in the program area
3. Create a wait list if program is full

6.4.4 Program Monitoring

1. View program roster by program, schedule, etc
2. Track program attendance
3. Track inmate/ detainee progress
4. Record program completion
5. Remove inmate/ detainee from program
6. Award good time for program participation

6.4.5 Program Creation

1. Create a new program and schedule
2. Delete/Deactivate/Suspend an existing program

6.4.6 Program View

1. View individual inmate/ detainee program participation – current and historical
2. View Program Plan versus programs completed for a specific inmate
3. View historical program information

6.4.7 Program Reports

1. Program participation
2. Statistical reports about program trends, number of programs, inmates/ detainees per program, etc.

6.5 Detailed Application Capabilities

This section describes the requirements that support the programs process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
6.5-01	Able to create a list of inmates/ detainees who have expressed an interest in programs. **Vendor Response (written narrative here):**				
6.5-02	Once a decision is made and the date of movement finalized, the system must be able to send a notification to staff responsible for movement and/or classification of the pending move. **Vendor Response (written narrative here):**				
6.5-03	Enable program staff to conduct assessment tests and record the results of the assessment. **Vendor Response (written narrative here):**				
6.5-04	Able to interface with commercial off the shelf assesment tools. **Vendor Response (written narrative here):**				
6.5-05	Enable program staff to create programs and program schedules. **Vendor Response (written narrative here):**				
6.5-06	Enable program staff to assign inmates/ detainees to specific programs and schedules. **Vendor Response (written narrative here):**				
6.5-07	Able to schedule the inmates/ detainees for the duration of the program as soon as the inmate/ detainee is assigned to a specific program. **Vendor Response (written narrative here):**				
6.5-08	Enable program staff to review program participation history for a specific inmate/ detainee. This capability should be filtered by current incarceration or all incarcerations, and by facility. **Vendor Response (written narrative here):**				
6.5-09	Provide access to risk assessment instruments as specified by Lucas County, including individual risk assessment factors, resultant overall risk rating, and custody rating or level of supervision recommendations and decisions. **Vendor Response (written narrative here):**				
6.5-10	Able to enter an inmate/ detainee into an appropriate wait list for a program (educational/vocational, rehabilitative, medical, skill development, and work) if that program is currently full. **Vendor Response (written narrative here):**				
6.5-11	Able to create and modify program participant lists to ensure that inmates/ detainees are not being double-booked into programs and other activities taking place at the same time. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
6.5-12	Able to record inmate/ detainee program attendance. **Vendor Response (written narrative here):**				
6.5-13	Able to record program participation notes regarding an inmate. **Vendor Response (written narrative here):**				
6.5-14	Able to automatically detect an Enemy in the Facility (Keep Separates) scheduled in the programs area at the same time. **Vendor Response (written narrative here):**				
6.5-15	Able to transition the inmate/ detainee to the next phase of the program upon completion of one phase of a multi-phase program even if changing facilities. **Vendor Response (written narrative here):**				
6.5-16	Provide mechanism for designated staff to cancel or suspend a program(s) at any time for a definite or indefinite period of time as deemed appropriate by management. **Vendor Response (written narrative here):**				
6.5-17	Able to document dates assessed, program entry date, and end date **Vendor Response (written narrative here):**				
6.5-18	Allow staff to input pre and post testing results in order to track progress. **Vendor Response (written narrative here):**				
6.5-19	Able to track and award earned good time or points to inmates/ detainees who are enrolled in a program and demonstrate compliance by achieving goals. **Vendor Response (written narrative here):**				
6.5-20	Able to document/record participation in/at external treatment facilities. **Vendor Response (written narrative here):**				
6.5-21	Automatically create an alert when inmate/ detainee fails to attend a predefined number of scheduled programs and/or classes. **Vendor Response (written narrative here):**				
6.5-22	Provide alerts/notifications to designated staff for disciplinary reports or program terminations. **Vendor Response (written narrative here):**				
6.5-23	Able to assign a case manager or counselor to each inmate/ detainee based on pre defined rules such as housing location. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
6.5-24	Enable the case manager or counselor to record notes about their interaction with each inmate. **Vendor Response (written narrative here):**				
6.5-25	Program Progress Case Notes Enable a case manager or counselor to record case notes about their interaction with inmate/ detainee, the date and time created, user ID, by selecting a Case Note Type (Dropdown: Meeting, Incident, Drug test, Hearing, Refer to Program, Level Achieved, Investigation, AWOL, Left the Program, Completed the Program, Surveillance Notes), with free text entry, and deleting, printing, and forwarding them. **Vendor Response (written narrative here):**				
6.5-26	Program Participation Termination Case Notes Enable a case manager or counselor to record case notes about outcomes and termination of participation by an inmate/ detainee in a program, with the date and time created, user ID, in a text box or by selecting an Outcome/ Termination Type (Dropdown: list of values), with free text entry, and deleting, printing, and forwarding them. **Vendor Response (written narrative here):**				
6.5-27	Group Events Enable an author to create Case Notes for a Case Event where the Case Note can be part of the record of more than one inmate/ detainee to record a group event. **Vendor Response (written narrative here):**				
6.5-28	Editing Case Notes Ability for the author of a submitted Case Note to edit it, which creates a new version of the Case Note. **Vendor Response (written narrative here):**				
6.5-29	Filter and Reorder Case Notes Ability to view all Case Notes in reverse chronological order and filter on Case Note Type, author, date, etc. **Vendor Response (written narrative here):**				
6.5-30	Search Case Notes Ability to search Case Notes by field: Case Note Type, Date/Time Entered, Entered-by Name, Date Edited (if any), and Edited-By Person (if any). **Vendor Response (written narrative here):**				
6.5-31	Attach Documents to Case Note Attach case-related documents of Document Type (Dropdown: Assessment, Attendance, Compliance), to the inmate/ detainee record of Document Format (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Case Notes. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
6.5-32	Enable the case manager, counselor, and other staff to review the history of interactions with any specific inmate. **Vendor Response (written narrative here):**				
6.5-33	For an inmate/ detainee enrolled in an education program, track the following kinds of information: 1. Exchange of information with public schools 2. Assignments and completion 3. Milestones/ levels achieved 4. Books checked out 5. Education specialist assigned **Vendor Response (written narrative here):**				
6.5-34	Service Provider Information Display Service Provider level information: Service Provider Name, Address, Address2, City, State, Zip, Phone, Fax Service Type: (Dropdown: add list at implementation) Contact: Name, Phone with Extension, email **Vendor Response (written narrative here):**				
6.5-35	Search Service Provider Name Enter partial or full name of Service Provider to retrieve existing Service Provider data. **Vendor Response (written narrative here):**				
6.5-36	Enter New Service Provider Enter new Service Provider information (see **6.5-34 Service Provider Information Display**), check checkboxes identifying type of provider: Public Service, Seminar, Counseling, Miscellaneous Conditions. **Vendor Response (written narrative here):**				
6.5-37	E-Mail Messages – Reminders to Out-of-Facilities Defendants Generate e-mail notifications (e.g., reminder) according to business rules governing the process. **Vendor Response (written narrative here):**				
6.5-38	SMS Text Messages – Reminders to Out-of-Facilities Defendants Generate SMS text notifications (e.g., reminder) according to business rules governing the process. **Vendor Response (written narrative here):**				

7 Housing

7.1 Business Capabilities Description

This section contains the detailed application capabilities for the inmate/ detainee housing function within Lucas County. The Housing function is performed by different entities in the Lucas County

facilities. The primary objective of the housing function is to place the inmate/ detainee in a specific cell/ housing unit based on the inmate's classification level.

7.2 Business Rules

The JMS system will check the inmate/ detainee alerts, etc. and notify the Classification staff or Counselors about potential conflicts

7.3 Process Activities

1. Identify housing locations for inmates/ detainees based on classification and custody levels
2. Move inmate/ detainee between housing units

7.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

7.4.1 House an Inmate/ Detainee

1. Assign and move the inmate/ detainee to a new cell/ housing unit
2. Move the inmate/ detainee within a housing unit
3. Move the inmate/ detainee to a new pod/cell / housing unit
4. Notify of enmies in facility/cell / housing unit
5. View the status of a pod
6. View the status of a cell/ housing unit

7.4.2 Inmate/ Detainee History

1. Review inmate/ detainee housing history
2. Other housing reports

7.5 Application Level Requirements

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
7.5-01	Able to locate any active or inactive inmate/ detainee information based on classification or cell/ housing unit (e.g. HOC, JAL, MAX, MIN, MED or Seggregation cell). The naming of cell/ housing units shall be agency specific. **Vendor Response (written narrative here):**				
7.5-02	Keep a complete history of every cell/ housing unit that the inmate/ detainee has been assigned to and their cell/ housing unit, including the staff member who entered the change, reason and comments. This history is critical to medical investigations (e.g. an infectious disease situation) or criminal investigations (e.g. witness confirmation). **Vendor Response (written narrative here):**				
7.5-03	Keep history of housing changes for display. The system must track any changes				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
	that happen within, with the ability to note and display the reason for and comments regarding the change (e.g. Pod move, Cell/ housing unit change, D Report #). **Vendor Response (written narrative here):**				
7.5-04	Provide an alert if active enemies are housed together in the same cell/ housing unit while still allowing for it. **Vendor Response (written narrative here):**				
7.5-05	Able to enter, track and review a cell/ housing unit inventory of standard items with the option to print a completed checklist for the inmate/ detainee to sign. **Vendor Response (written narrative here):**				
7.5-06	Able to warn staff of situations relating to enemies, medical issues, co-mingling and/or overbooking. The system must allow staff to override the warning and provide the ability to record and report overrides. **Vendor Response (written narrative here):**				
7.5-07	Ensure that the housing module ties in to the security module and provides an easy way to see/determine the special management status of inmates/ detainees such as: 1. Administrative Segregation 2. Isolation 3. Room restrictions **Vendor Response (written narrative here):**				
7.5-08	Able to view and print housing history reports as follows: 1. Inmate/ Detainee Housing History report showing every assignment and change, dates, reasons, comments and special management status over multiple bookings. 2. Inmate/ Detainee contact report showing every housing assignment and every other inmate/ detainee the subject inmate/ detainee was housed with over multiple bookings and/or date ranges. **Vendor Response (written narrative here):**				
7.5-09	Provide a process for designated staff to enter pending housing moves and generate a report listing all pending moves. **Vendor Response (written narrative here):**				
7.5-10	Able to report on any cell/ housing unit activity for a proposed range of dates. This also may include adjacent cell/ housing units or entire areas. **Vendor Response (written narrative here):**				
7.5-11	Able to view the status of a pod or a cell/ housing unit. **Vendor Response (written narrative here):**				
7.5-12	Able to recommend housing assignments based upon availability of cell/ housing units and crossed referenced with information from Classification, Medical.				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
7.5-13	Able to assign an inmate/ detainee to new housing assignment in current cell/ housing unit or another cell/ housing unit. **Vendor Response (written narrative here):**				
7.5-14	Able to 'overbook' a bed or move inmates/ detainees to a temporary location during assignment **Vendor Response (written narrative here):**				
7.5-15	Enable Lucas County personnel to add additional facilities, pods and cell/ housing units without the need for JMS customization or enhancement. **Vendor Response (written narrative here):**				

8 Work Programs (Internal/ External)

8.1 Business Capabilities Description

This section contains the detailed application capabilities for the inmate/ detainee work process within Lucas County.

When implemented, the proposed solution will support the inmate/ detainee work process which is a key element of the Lucas County inmate/ detainee services. Inmates/ detainees at the Correctional Center have the cell/ housing unit to perform two types of work while still in custody:

- Internal Work
- External Work

The current Workline cell/ housing unit receives requests for workers and creates a "Workline" for each job. When a new work program is created, the appropriate staff are informed. Inmates/ detainees apply for work via kisk. The staff reviews all applicants including the inmate's Incident History, charges, and sentence information to select a candidate for work.

8.2 Business Rules

There are no specific business rules that apply at this time. Howver, the system should be configurable to allow any business rules to be applied in the future.

8.3 Process Activities

1. Create a program
2. Create a workline
3. Create a list of inmates/ detainees interested in a workline
4. Add inmates/ detainees to the work program
5. Take attendance
6. Terminate a person from the work program

8.4 Demonstration Scenarios

Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

8.4.1 Create a Workline

1. View work program requests
2. Create, schedule, and assign correctional staff to a work program
3. Show inmates/ detainees who reported for scheduled workline as “present”
4. Assign a workline supervisor

8.4.2 Screen and Assign Applicants

1. View work applicant list
2. View inmate/ detainee information
3. Assign an inmate/ detainee to a work program
4. View waiting list
5. Assign an inmate/ detainee to a work program from the waiting list

8.4.3 Document Work Participation

1. Document work participation
2. Document work incident

8.4.4 Generate Reports

1. List of work applicants.
2. List of work programs.
3. Individual Work program status report.
4. Work program incidents report.
5. Work program rosters
6. Daily/Monthly daily work program reports
7. Show a historical work line report

8.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the Workline process.

Req#	Requirements	Response Code			Estimated Custom Hours
		I	C	N	
8.5-01	Able to document and prioritize Internal/External Work Project Requests. **Vendor Response (written narrative here):**				
8.5-02	Able to create and store work programs. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Custom Hours
		I	C	N	
8.5-03	Able to schedule work program including programs that do not have a specified "end date". **Vendor Response (written narrative here):**				
8.5-04	Integrate with a commercial off the shelf work program application. **Vendor Response (written narrative here):**				
8.5-05	Provide a list of work applicants for review and assignment. **Vendor Response (written narrative here):**				
8.5-06	Provide access to inmate/ detainee records for review and assignment to Work programs. **Vendor Response (written narrative here):**				
8.5-07	Able to assign an individual inmate/ detainee or groups of inmates/ detainees to a work program (via a drop-down list or drag and drop). **Vendor Response (written narrative here):**				
8.5-08	Provide a waiting list for a work assignment when the assignment is fully staffed. **Vendor Response (written narrative here):**				
8.5-09	Able to flag inmates/ detainees who do not meet work eligibiity criteria. **Vendor Response (written narrative here):**				
8.5-10	Able to document an inmate's work participation within a facility or outside of a facility. **Vendor Response (written narrative here):**				
8.5-11	Able to record the workline supervisor. **Vendor Response (written narrative here):**				
8.5-12	The proposed solution must integrate with classification so that skilled and trained inmates/ detainees are assigned to the most appropriate work programs. **Vendor Response (written narrative here):**				
8.5-13	The proposed solution must have capability to produce a list of inmates/ detainees with a selected skill set. **Vendor Response (written narrative here):**				
8.5-14	Able to capture work program coordinator phone and email contact information. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Custom Hours
		I	C	N	
8.5-15	Provide an automated manner to track any housing change required as a condition of work participation. **Vendor Response (written narrative here):**				
8.5-16	Able to access work information using a commercial off the shelf report writing application. **Vendor Response (written narrative here):**				
8.5-17	Provide an electronic scheduling system to include work programs within a facility or outside of a facility **Vendor Response (written narrative here):**				
8.5-18	Able to track inmate/ detainee movement to work programs. **Vendor Response (written narrative here):**				
8.5-19	The proposed solution must Interface with the functional area that computes an inmate/ detainee pay and/or good time calculation. **Vendor Response (written narrative here):**				
8.5-20	The proposed solution must integrate work programs and movement with the count function. **Vendor Response (written narrative here):**				

Cell/ Housing Unit Management

9 Grievances

This section consists of requirements that support the Inmate/ Detainee Grievance process.

9.1 Business Capability Description

The Grievance process begins with a grievance being filed by an inmate. A Grievance Coordinator collects the paper copies. Each grievance is reviewed to see whether it is grievable or non-grievable. If it is non-grievable, the grievance is recorded and a note is sent to the inmate/ detainee about the denial and the reason for denial.:

The grievances are reviewed then forwarded to the appropriate department. The department has a set number of days to respond. Once the response is received, it is reviewed and a decision made. This decision is then forwarded to the inmate.

The inmate/ detainee has the ability to appeal the decision. This can only be done once. This appeal is then reviewed by the appropriate personnel and a decision taken. This final decision is then communicated to the inmate.

9.2 Business Rules

There are no specific business rules that apply at this time. Howver, the system should be configurable to allow any business rules to be applied in the future.

9.3 Process Activities

The folowing activities are part of the process

1. Creation of a Grievance
2. Investigation
3. Review and Decision about the Grievance
4. Processing an appeal
5. Final Decision about the Grievance

9.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

The proposed solution must enable the Grievance Coordinator to:

- Identify the nature of the grievance from a list of options;
- Determine whether the grievance is against an Officer or not, and if so, identify the Officer; and
- Capture a description of the grievance.

The proposed solution must track the number of grievances filed over a specified period of time by an individual inmate/ detainee and prohibit the filing of grievances by that inmate/ detainee after the limit is reached.

The inmate/ detainee should be able to enter a grievance into a Kiosk in the Housing or Work environment. If a kiosk is not available, the inmate/ detainee should complete a paper Grievance Form.

9.4.1 General

1. Configure the business rules for number of grievances filed within a given period
2. Configure the notification rules to allow notifications to be sent
3. Configure the business rules to allow certain days for responses from the departments

9.4.2 Enter a Grievance

1. Enter the grievance in to the JMS system
2. Classify the grievance
3. Notify appropriate department

9.4.3 Process the Grievance

1. Receive the response from the appropriate department
2. Review, edit and approve the response
3. Record the decision
4. Print the response

9.4.4 Process Inmate/ Detainee Appeal

1. Record the inmate/ detainee appeal
2. Notify the appropriate person
3. Inmate/ Detainee appeal reviewed and decision taken
4. Record the decision
5. Print the response

9.4.5 Grievance Search

1. Search for grievances based on multiple search parameters such as Grievance ID, Inmate/ Detainee Name, Grievance Types, Date Ranges, etc

9.4.6 Reports

1. Provide statistical reports on grievance trends, appeals, open grievances, closed grievances, etc.
2. Provide reports by Inmates.
3. List summary of grievances by inmate.
4. List summary of grievances by type.
5. List summary of grievances by cell/ housing unit.
6. List summary of grievances by Staff Name, position, and ID.
7. List summary of grievances weekly, monthly, and quarterly.
8. List summary report by grievance dispositions by facility.

9.5 Detailed Application Capabilities

This section lists the detailed application capabilitiesthat support the grievance process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
9.5-01	Able to create and track inmate/ detainee grievances. **Vendor Response (written narrative here):**				
9.5-02	Able to date-stamp receipt of a grievance for proper and timely processing. **Vendor Response (written narrative here):**				
9.5-03	Able to accept data from an external kiosk, where an inmate/ detainee can enter a grievance and create the grievance in the JMS. **Vendor Response (written narrative here):**				
9.5-04	Able to query grievance records to generate reports for statistical purposes. **Vendor Response (written narrative here):**				
9.5-05	Provide the capability to limit the number of grievances created by an inmate/ detainee over a specified period of time based on policy. **Vendor Response (written narrative here):**				
9.5-06	The proposed solution must be able to document a grievance, a grievance response, an appeal and a decision on that appeal. **Vendor Response (written narrative here):**				
9.5-07	Enable the inmate/ detainee to withdraw an already filed grievance. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
9.5-08	Able to generate a grievance package that would include all documentation associated with that grievance, including appeals, incident reports, etc. **Vendor Response (written narrative here):**				
9.5-09	Able to refer and track grievances for inmates/ detainees transferred to other jurisdictions. **Vendor Response (written narrative here):**				
9.5-10	Able to generate an Outcome Measure Report. (This is required for ACA, - reports: Incident, medical, grievance, disciplinary, etc.). **Vendor Response (written narrative here):**				
9.5-11	Enable the grievance coordinator identify grievances that are due from the appropriate departments based on departmental policies. **Vendor Response (written narrative here):**				
9.5-12	Enable the grievance coordinator to get a reminder when grievance responses are due to the inmate/ detainee based on departmental policies. **Vendor Response (written narrative here):**				
9.5-13	Able to configure the workflow to send notifications to the appropriate person when a grievance needs to be reviewed by that person. **Vendor Response (written narrative here):**				
9.5-14	Enable the grievance coordinator or an authorized individual to perform trend analysis for grievances. This could be by grievance types, locations, grievable vs non grievable. **Vendor Response (written narrative here):**				
9.5-15	Able to track grievances initiated by inmates/ detainees that are not grievable to include tracking the response to the inmate. **Vendor Response (written narrative here):**				
9.5-16	Enable the grievance coordinator to mark a Grievance as PREA related. The system must have the ability to enable individuals with the appropriate authority to unmark a previously PREA marked grievance. **Vendor Response (written narrative here):**				

10 Count

This section identifies the requirements that support the Count process.

10.1 Business Capability Description

The primary objective of the Count process is to ensure that all inmates/ detainees are accounted for periodically throughout the day. There are formal and informal counts that are carried out throughout the day. The midnight count is used to report census information.

During the Count, all inmate/ detainee movement is frozen. Each area checks the inmates/ detainees that are present against the roster. This is reported to the Count room. The Count Room reconciles the physical number present along with the inmates/ detainees that are at different locations internal and external to the facility. The total number is then computed and matched against the expected total number of inmates. If the two numbers match, the Count is cleared and the inmate/ detainee movement is allowed to resume. The Count Sheet is then printed, signed and then stored. Any discrepancy is investigated, resolved and upon resolution.

10.2 Business Rules

It is expected that the selected vendor will have the ability to integrate this with the movement so that the system can match the expected numbers with the physical count.

10.3 Process Activities

1. Identify the inmates/ detainees that are out of the facility
2. Count the inmates/ detainees in the various locations (housing areas, kitchen, intake, etc)
3. Provide count numbers to Central location
4. Verify and reconcile numbers
5. Clear count, if numbers match

10.4 Demonstration Scenarios

It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

10.4.1 General

1. Configure count locations by facility
2. Configure count times by facility

10.4.2 Create a Count Location Area

1. Access count location area management
2. Enter new count location area information
3. Save new count location area

10.4.3 Modify a Count Location Area

1. Access count location area management
2. Enter count location area modifications
3. Save updated count location area

10.4.4 Process Count

1. Enable the Count Officer to enter count information for a specific area
2. Freeze the entry if the Count Officer enters incorrect information more than a specified number of times
3. The system to match the actual count with the expected count by area
4. System to identify those inmates/ detainees that have gone to external destinations such as hospital, court, etc.
5. System to clear those areas where the actual count matches the expected count
6. Enable the Count Room to clear the count
7. Record the date and time of the count and the person that cleared the count and store it

10.4.5 Search

1. Ability to search a specific count sheet by date and count time and view it

10.4.6 Print

1. Ability to print Count Sheets

10.5 Detailed Application Capabilities

This section lists the detailed application capabilitiesthat support the Count process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
10.5-01	Integrate with the movement module (see **18.5-02 Mechanisms for Tracking Inmate Movement**) to keep track of inmate/ detainee location. **Vendor Response (written narrative here):**				
10.5-02	Enable an officer to check off the inmates/ detainees present in a housing or work location (Count Location Area) during the count time. **Vendor Response (written narrative here):**				
10.5-03	Able to schedule and perform a count at multiple, predetermined times per day. **Vendor Response (written narrative here):**				
10.5-04	Able to perform a count at any time required by the institution. **Vendor Response (written narrative here):**				
10.5-05	Able to determine which locations in a facility are designated as Count Location Areas. **Vendor Response (written narrative here):**				
10.5-06	The proposed solution must provide the ability to add/modify the Count Location Areas without needing to reprogram the JMS application. **Vendor Response (written narrative here):**				
10.5-07	Provide a notification when the count is not reconciled. **Vendor Response (written narrative here):**				
10.5-08	Provide a list of all inmates/ detainees who remain in Lucas County custody when they are out of the facility at the time of the count and indicate where they are: Court, Hospital, Work Crew, etc. **Vendor Response (written narrative here):**				
10.5-09	Provide a list of inmates/ detainees on the move and indicate the location they are moving to within the facility. **Vendor Response (written narrative here):**				
10.5-10	Provide a list of inmates/ detainees in any location within the facility. This list should consist of the inmate/ detainee name, photograph and RID/Booking number **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
10.5-11	Able to verify the count comparing the system vs. the officer's input. **Vendor Response (written narrative here):**				
10.5-12	Able to display the count verification results. **Vendor Response (written narrative here):**				
10.5-13	Able to auto-fill the time/date fields for count entered and count cleared data fields. **Vendor Response (written narrative here):**				
10.5-14	Able to record the name of appropriate person who authorized the count to be cleared as well as the date and time in each building and in the Count Room. **Vendor Response (written narrative here):**				
10.5-15	Able to produce historical reports regarding area and facility counts. **Vendor Response (written narrative here):**				
10.5-16	Able to view historical counts based on date and facility. **Vendor Response (written narrative here):**				
10.5-17	Able to freeze the housing or work area counts if a specified number of wrong counts are entered. This can only be cleared by a Supervisor. **Vendor Response (written narrative here):**				
10.5-18	Enable an officer to view an inmate/ detainee face sheet that includes the inmate's photograph. **Vendor Response (written narrative here):**				

11 Cell/ Housing Unit Management (Housing/ Duty Post Logs)

This section describes the detailed application capabilitiesthat support the documentation of all the logs in the Lucas County facilities. Currently there a number of logs that are kept manually.

11.1 Business Capabilities Description

The Jail and the other facilities have a number of logs that are completed manually. These include the shift logs, duty post logs, locker logs, visitor logs, etc. These logs must be kept electonically and be able to be searched by a number of parameters.

11.2 Business Rules

There are no specific high level business rules. However, the specific detailed rules will be identified during the Requirement Verification session.

11.3 Process Activities

1. Make an entry in a duty post or other log
2. Search for an entry based on specific parameters
3. Review the prior shift logs

11.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

11.4.1 Input Shift/ Duty Post Logs

1. Input information into the housing/ duty post logs

11.4.2 Search for Specific Information

1. Search for specific information based on parameters

11.4.3 Print Specific Parts of Logs

1. Ability to print a specific set of logs

11.5 Detailed Application Capabilities

This section describes the requirements that support processes associated with housing.

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
11.5-01	Enable Correction Officers to make entries into logs that are related to the posts or housing cell/ housing units that they are assigned to, including the following: 1. Master log 2. Shift logs 3. Watch tours - Resident Observation log 4. Perimeter door checks 5. Supervisor's shift log 6. 1st/ 2nd/ 3rd Shift log 7. Staff training program log 8. Staff break log 9. Control key signout log **Vendor Response (written narrative here):**				
11.5-02	Able to record log information based on the shift, date and time so that it is searchable. **Vendor Response (written narrative here):**				
11.5-03	Include the capability to have drop down lists for logged activities so that trends and patterns can be identified at a later date through a custom report. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
11.5-04	Able to search inmate movement log (see **18.5-02 Mechanisms for Tracking Inmate Movement**). **Vendor Response (written narrative here):**				
11.5-05	Able to search both structured and un-structured data based on specific parameters and display the results of the search. **Vendor Response (written narrative here):**				
11.5-06	Able to lock down the information entered by the housing cell/ housing unit officer after it has been reviewed. **Vendor Response (written narrative here):**				
11.5-07	Able to record meals refused, by inmate/ detainee, date, meal type. **Vendor Response (written narrative here):**				

12 Gang Unit

This section describes the detailed application capabilitiesthat support the Gang Unit at the Jail and the Correctional Center.

12.1 Business Capabilities Description

The Gang Unit is responsible for

- Validating gang members and their affiliations
- Investigating all gang related incidents

Gang affiliation is part of 2.5.1-36 Person Data Display, and entry or update of STG/ gang data during intake notifies the Gang Unit.

The Gang Unit mainly uses the TAG system and will continue to use this system. This system will not be part of the new JMS. This system will always be a separate system due to reasons of confidentiality. The JMS system will be used to look at inmate/ detainee information during investigations.

12.2 Business Rules

Gang Unit information is accessible only to Gang Unit officers and facility management.

12.3 Process Activities

1. Search for an inmate
2. View consolidated information on Inmate
3. Mark an incident as Gang Related

12.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business

practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

12.4.1 View Consolidated Inmate/ Detainee Information

1. View Consolidated Inmate/ Detainee information

12.4.2 Mark Incident as Gang Related

1. Mark an incident as Gang Related

12.4.3 View Notificaton from Intake

1. Access appropriate screen
2. View inmate/ detainee information

12.5 Detailed Application Capabilities

This section describes the requirements that support the gang information process.

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
12.5-01	Enable Gang Unit Officers to receive a notification from the Intake function of a suspected gang member being processed. (see parallel requirement in Intake/ Entry & Update of Person Data -- **2.5.1-24 Notify Gang Unit of STG/ Gang Data Entry**) **Vendor Response (written narrative here):**				
12.5-02	Enable Gang Unit Officers to review all relevant inmate/ detainee information in one place. This includes the photographs – facial and scars, marks, tattoos and piercings. **Vendor Response (written narrative here):**				
12.5-03	Enable Gang Unit personnel to mark an incident as gang-related. **Vendor Response (written narrative here):**				
12.5-04	Enter Gang Unit Investigative Note Enable creating investigative notes, the date and time created, in a text box or by selecting a Contact Type (Dropdown: Witness Interview, Victim Interview, Email, Phone call), and deleting, printing, and forwarding them. **Vendor Response (written narrative here):**				
12.5-05	Investigative in Multiple Cases Ability for an author to create one or more Gang Unit Investigative notes where the Gang Unit Investigative note can be part of more than one inmate's record. **Vendor Response (written narrative here):**				
12.5-06	Editing Investigative Notes Ability for the author of a submitted Gang Unit Investigative note to edit it, which creates a new version of the Gang Unit Investigative note. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
12.5-07	Filter and Reorder Investigative Notes Ability to view all Gang Unit Investigative notes in reverse chronological order and filter on topic, author, date etc. **Vendor Response (written narrative here):**				
12.5-08	Search Investigative Notes Ability to search Investigative Notes by field: Contact Type, Date/Time Entered, Entered-by Name, Date Edited (if any), and Edited-By Person (if any). **Vendor Response (written narrative here):**				

13 Segregation/ Administrative Removal

13.1 Business Capabilities Description

This section contains the detailed application capabilities for the Segregation/ Administrative Removal process within Lucas County. The proposed solution must support the ability to process inmates/ detainees into and out of segregation/ administrative removal. The Segregation Officer must be made aware of those inmates/ detainees that are being sent for segregation/ administrative removal. Once in the segregation cell/ housing unit, the inmate/ detainee needs to be monitored on a daily basis in terms of the basic activities such as meals, shower and exercise.

13.2 Business Rules

There are no specific high level business rules. However, the specific detailed rules will be identified during the Requirement Verification session.

13.3 Process Activities

1. Move the inmate/ detainee to segregation with a reason
2. Monitor activities during segregation

13.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

13.4.1 Monitor Inmate/ Detainee in Segregation/ Administrative Removal

1. View list of inmates/ detainees assigned to segregation
2. Record inmate/ detainee activities and unusual behaviors
3. Record suicidal inmate/ detainee activities utilizing wireless device and sync with JMS
4. Record staff visits to inmates

13.4.2 Segregation/ Administrative Removal Reports

1. Discharge report - Inmates/ detainees received and discharged for segregation.

2. Protective custody report – when they came in, when they are coming up for review.
3. List summary of the date and time of visits to inmates/ detainees by staff members.
4. Forward-able report of any action to deny privilege(s) to an inmate.
5. List summary of all incidents and any unusual occurrences or behaviors.
6. List summary of in cell/ housing unit activity (e.g shower, meals, etc.).

13.5 Detailed Application Capabilities

This section describes the requirements that support the Segregation process.

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
13.5-01	Enable the Segregation/ Administrative Removal and Classification staff to review a list of inmates/ detainees that are being sent to segregation/ administrative removal. **Vendor Response (written narrative here):**				
13.5-02	Able to classify an inmate/ detainee in segregation with a status to identify the reason that the inmate/ detainee is in segregation. This can be "administrative segregation," "protective custody," "disciplinary detention," “pending investigation,” and other categories. **Vendor Response (written narrative here):**				
13.5-03	Able to classify different housing areas within the Segregation/ Administrative Removal Cell based on the different statuses identified in 13.5-02. **Vendor Response (written narrative here):**				
13.5-04	Able to record the date and time of visits to inmates/ detainees by staff members. **Vendor Response (written narrative here):**				
13.5-05	Able to record inmate/ detainee activity on a daily basis such as showers, exercise, meals, etc. **Vendor Response (written narrative here):**				
13.5-06	Able to log all incidents and any unusual occurrences or unusual inmate/ detainee behaviors. **Vendor Response (written narrative here):**				
13.5-07	Able to create a list of inmates/ detainees coming up for review based on pre defined rules and policies. **Vendor Response (written narrative here):**				
13.5-08	Able to create a discharge report of inmates/ detainees about to complete segregation based on pre defined rules and policies. **Vendor Response (written narrative here):**				
13.5-09	Able to print review notices that can be sent to inmates. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
13.5-10	Able to create a "deny privilege report" including the privilege denied and who denied that privilege. This should be indicated on a prominent place so that it is easily visible to the officers. **Vendor Response (written narrative here):**				
13.5-11	Able to use a wireless device to confirm security check on suicide cell/ housing units and report observed inmate/ detainee activity. **Vendor Response (written narrative here):**				
13.5-12	The proposed solution's wireless device used for suicide checks must be easily synced with JMS. **Vendor Response (written narrative here):**				

14 Compliance, Incidents and Disciplinary Measures

14.1 Business Capabilities Description

This section contains the detailed application capabilities for monitoring compliance of inmates/ detainees with facility regulations and court court orders, reporting incidents and carrying out disciplinary processes. Drug testing, breathalyzer, and electronic monitoring may be conditions for inmates/ detainees who are allowed to leave the facility under specified conditions and return.

When implemented, all incident and disciplinary activities required by the Lucas County Jail and detention facilities will be managed in a standardized way by the proposed solution. The purpose of the incident report is to record incidents that occur within Lucas County facilities. An incident report becomes a disciplinary report when a disciplinary code is assigned. The disciplinary function then monitors inmate/ detainee behavior and provides appropriate disciplinary action in response to infractions, violations, and other inmate/ detainee behaviors.

Inmate/ detainee behavior may require corrective action on one of two general levels depending on the behavior: sanctions for minor offenses, and disciplinary reporting for major offenses. For an inmate/ detainee who commits a minor infraction, a pod officer may implement sanctions ranging from revoking privileges to temporary restriction of participation in pod activities by confining the inmate/ detainee to his/her cell/ housing unit. The use of sanctions is supported by an Incident Report.

Discipline is training, punishment and/or sanctions, corrective measures taken to reverse negative behavior, intended to bring about order, compliance and personal responsibility. Use of the disciplinary process is supported by a Disciplinary Report. Disciplinary Reports provide information enabling the staff to determine the appropriate response. Disciplinary infractions are classified as minor or major. The discipline process is structured and requires a disciplinary hearing and may result in the removal of an inmate/ detainee from his current housing location and/or denial of privileges.

14.2 Business Rules

There are no specific high level business rules. However, the specific detailed rules will be identified during the Requirement Verification session.

14.3 Process Activities

1. Record lack of compliance or failure of drug/ alcohol test
2. Record an incident report (Critical and Non Critical Incident reports)
3. Schedule a Disciplinary Board, if required
4. Document results of the Disciplinary Board
5. Implement sanctions

14.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

14.4.1 Create Incident and Disciplinary Reports

1. Record lack of compliance or failure of drug/ alcohol test
2. Create an Incident Report
3. Create a Disciplinary Report
4. Record inmate/ detainee statement
5. Record inmate/ detainee appeal

14.4.2 Disciplinary Processes

1. View list of pending Disciplinary Reports
2. View Daily Docket of required disciplinary hearings
3. Process an inmate/ detainee appeal
4. Assign sanction or discipline

14.4.3 Generate Reports

1. List of incidents reports.
2. List of disciplinary reports.
3. List of inmate/ detainee appeals and results.
4. List of isolation inmates.
5. Deny privileges report
6. Daily/Monthly daily disciplinary reports.

14.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the incident and the disciplinary process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
14.5-01	Able to record for an inmate/ detainee the results of testing for substances at a date/time, with user ID: a. Urine drug screen (Dropdown: Amphetamine, Barbiturate, Benzodiazepine, BUP, Cannabinoid, Cocaine, Ethyl Alcohol, Heroin, Opiate, Oxy, Phencyclidine, Special ETG) b. Breathalyzer c. Field test **Vendor Response (written narrative here):**				
14.5-02	Able to set up an account for electronic monitoring of inmates/ detainees , including the following terms: a. Financial terms: installation fee, ongoing fee per day/ week/ month b. Restrictions/ permissions on movements **Vendor Response (written narrative here):**				
14.5-03	Able to submit an incident report, including lack of compliance with substances and electronic monitoring conditions, with notification to staff assigned to the inmate/ detainee. **Vendor Response (written narrative here):**				
14.5-04	Provide a log of events to enable tracking incident reports and disciplinary reports from initiation to final resolution, including notice of rights in case of criminal charges, routing for review and approvals. **Vendor Response (written narrative here):**				
14.5-05	Enable staff to indicate that an incident report requires a disciplinary report, notice of rights in case of criminal charges, and record disciplinary report reviews and approvals. **Vendor Response (written narrative here):**				
14.5-06	Able to track the status of a disciplinary report. **Vendor Response (written narrative here):**				
14.5-07	Provide notifications of required staff action related to a disciplinary report including a “daily docket” of required disciplinary actions. **Vendor Response (written narrative here):**				
14.5-08	Provide access to view all previous disciplinary reports for an inmate. **Vendor Response (written narrative here):**				
14.5-09	Able to assign a level of severity to a disciplinary report. **Vendor Response (written narrative here):**				
14.5-10	Able to modify an incident report until it is approved. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
14.5-11	Able to capture the inmate's statement in response to a disciplinary report. **Vendor Response (written narrative here):**				
14.5-12	Able to query and generate reports based on disciplinary records. **Vendor Response (written narrative here):**				
14.5-13	Able to link multiple disciplinary reports. **Vendor Response (written narrative here):**				
14.5-14	Able to enter sanctions. **Vendor Response (written narrative here):**				
14.5-15	Show disciplinary sanctions on master log automatically when a disciplinary sanction is entered. **Vendor Response (written narrative here):**				
14.5-15	Able to schedule disciplinary hearings. **Vendor Response (written narrative here):**				
14.5-16	Able to record the results of disciplinary hearings. **Vendor Response (written narrative here):**				
14.5-17	Able to print out various forms that support the disciplinary hearing process such as Notices, Approvals and Continuances. **Vendor Response (written narrative here):**				
14.5-18	Enable the inmate/ detainee to appeal a disciplinary report or disciplinary action. **Vendor Response (written narrative here):**				
14.5-19	Able to track the inmate's appeal of a disciplinary report or disciplinary action and automatically close the appeal period when policy time limit expires. **Vendor Response (written narrative here):**				
14.5-20	Provide a daily automated summary of disciplinary actions to central records. **Vendor Response (written narrative here):**				
14.5-21	Able to track inmates/ detainees in disciplinary sanctions such as loss of time and segregation' administrative removal. **Vendor Response (written narrative here):**				
14.5-22	Able to search for disciplinaryreports using multiple search parameters such as inmate/ detainee name, date range, code of conduct to name a few. **Vendor Response (written narrative here):**				
14.5-23	Able to search disciplinarydata using an off the shelf reporting application. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
14.5-24	Provide the capability for the automatic tracking and calculation of inmate/ detainee days in Administrative Segregation. **Vendor Response (written narrative here):**				

15 Use of Force

15.1 Business Capabilities Description

This section contains detailed application capabilitiesto support the process used by the Response Teams (CERT) at the Jail and other facilities. The response teams perform security operations and the housing officers conduct searches. The Response Team creates a Use of Force report after every incident that describes the incident that occurred. If chemical agents are used, that information is also documented. The Response Teams record detailed information about the chemical agent cans, who has the cans, the weight of the can before and after the incident

15.2 Business Rules

There are no specific high level business rules. However, the specific detailed rules will be identified during the Requirement Verification session.

15.3 Process Activities

- Iniitiate use of force
- Document the results of the use of force

15.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

15.4.1 Create a Use of Force Report

1. Create a Use of Force Report

15.4.2 Generate Reports

1. Use of Force Reports by Officer and date range.
2. Chemical Agent Use Report (i.e., officer who used agent, start and end weight)
3. Taser Use Report by Officer and date range.
4. List summary of issued chemical/non-chemical use of force equipment.
5. Search report based on cell/ housing unit, inmate/ detainee name, or common area.
6. Search report based on periods of time.
7. K-9 search report.
8. Department of Justice Reports every 6 months.
9. Daily/Monthly daily activity reports.
10. Found contraband not associated with an inmate

15.5 Detailed Application Capabilities

This section describes the requirements that support the Security Operations, Use of Force, and Search processes.

Req. #	Requirement	Response Code			Estimated Custom Hours
		I	C	N	
15.5-01	Able to define the procedures and steps necessary to notify and document staff involvement in incidents involving use of force, including report approvals. **Vendor Response (written narrative here):**				
15.5-02	Able to capture information/data to document the use of force and to document that the requirements for Use of Force were met. **Vendor Response (written narrative here):**				
15.5-03	Able to link the use of force report with any other related report (Disciplinary, Incident, etc.). **Vendor Response (written narrative here):**				
15.5-04	Able to document the use of less-than-lethal force data, specifically the use of chemical agents and tasers (Dropdown: Chemical Agent, Taser), and attach scanned documents to the entry. **Vendor Response (written narrative here):**				
15.5-05	Able to query use of less-than-lethal force data, specifically the use of chemical agents and tasers (Dropdown: Chemical Agent, Taser). **Vendor Response (written narrative here):**				
15.5-06	Able to track use of K-9 Cell/ housing unit. **Vendor Response (written narrative here):**				
15.5-07	Able to maintain a log of use of mechanical restraints, showing the name of the inmate/ detainee, date/time, user ID, reason (Dropdown: list of values). **Vendor Response (written narrative here):**				

16 Visitation

16.1 Business Capabilities Description

This section describes the requirements for the visitation process within Lucas County facilities including contact visits and non-contact visits. The Lucas County jail only has non-contact visit, however, the system must be able to support both types of visits. When implemented, it will be able to register visitors, screen visitors for non-contact and contact visits, schedule visits, and document the visit. The proposed solution must also provide the ability to ban a visitor and to record visits refused by the inmate/ detainee. The solution must support the visitation process by:

1. Providing the ability to register a visitor for an inmate,
2. Enabling visitor check in for each visit,
3. Supporting visitation policy, and
4. Providing visitation reporting.

The solution must be able to integrate with potential third-party visitation systems.

16.2 Business Rules

While there a no specific high level rules, the detailed rules will be identified during the Requirement Verification sessions.

16.3 Process Activities

- Screen inmate/ detainee visitors
- Record inmate/ detainee visits
- Identify if any visitors are excluded

16.4 Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

16.4.1 Screen visitors

1. Register a visitor
2. Screen an arriving visitor
3. Schedule an inmate/ detainee Non-contact visit
4. Print an inmate/ detainee pass
5. Schedule an inmate/ detainee Contact visit
6. Print a visitor pass
7. Deny a visit
8. Ban a visitor
9. Refuse a visit
10. Record visit results

16.4.2 Generate Reports

1. Registered Visitor List and Visitor Log.
2. Visitation records by inmate.
3. Visitation records by visitor.
4. Banned visitor list.
5. Visitation records by facility.
6. Daily/Monthly daily visitation reports.
7. List of incidents.
8. List of contraband detected and disposition.

16.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the Contact and Non-contact visitation processes.

16.5.1 Contact Visitation

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
16.5.1-01	Provide a visitation capability for a contact visits. **Vendor Response (written narrative here):**				
16.5.1-02	Include the ability to capture visitor registration information and approve or deny visitor registration according to policy. **Vendor Response (written narrative here):**				
16.5.1-03	Able to search for local warrants, national warrants, and Jail and Correctional Center records for disqualifying information for visitor registration and when a registered visitor arrives for a visit. **Vendor Response (written narrative here):**				
16.5.1-04	Enable the facility to configure an approved visitation schedule and any facility specific visitation limitations without the need for programming. **Vendor Response (written narrative here):**				
16.5.1-05	Include an alert feature for any inmate/ detainee who is not available for visit due to court date, segregation/ administrative removal, a no-visits restriction, or restraining order. **Vendor Response (written narrative here):**				
16.5.1-06	Able to alert staff when an Enemy in the Facility for this inmate/ detainee is already in the visitation area. **Vendor Response (written narrative here):**				
16.5.1-07	Provide the capability to record when a visit is refused by the inmate/ detainee. **Vendor Response (written narrative here):**				
16.5.1-08	Include the ability to schedule inmate/ detainee movement to/from the visiting area and the housing/work areas. **Vendor Response (written narrative here):**				
16.5.1-09	Able to capture visitor demographic data upon arrival for a visit. **Vendor Response (written narrative here):**				
16.5.1-10	Able to schedule an inmate/ detainee for a visit according to policy once the visitor is logged in. **Vendor Response (written narrative here):**				
16.5.1-11	Able to print a “visitor pass” indicating visit date/time and booths/locations in the facility. **Vendor Response (written narrative here):**				
16.5.1-12	Able to ban a visitor from a contact visit and the ability to set an expiration date on the ban. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
16.5.1-13	Able to record any unusual inmate/ detainee behavior. **Vendor Response (written narrative here):**				
16.5.1-14	Able to record visitor, inmate/ detainee, and visit result information for research and reporting purposes. **Vendor Response (written narrative here):**				
16.5.1-15	Able to alert the visits officer that the maximum number of visitors for a specific inmate/ detainee has been exceeded. This limit must be configurable and based on the facility policy **Vendor Response (written narrative here):**				
16.5.1-16	Able to integrate with potential third-party visitation systems. **Vendor Response (written narrative here):**				

16.5.2 Non-Contact Visitation

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
16.5.2-01	Provide a visitation capability for non-contact visits. **Vendor Response (written narrative here):**				
16.5.2-02	Able to capture visitor information and approve or deny the visit, or ban the visitor according to policy, when a visitor arrives for a visit. **Vendor Response (written narrative here):**				
16.5.2-03	Able to search for local warrants, national warrants, and Jail and Correctional Center records for disqualifying information when a visitor arrives for a visit. **Vendor Response (written narrative here):**				
16.5.2-04	Enable the facility to configure an approved visitation schedule and any facility-specific visitation limitations without the need for programming. **Vendor Response (written narrative here):**				
16.5.2-05	Include an alert feature for any inmate/ detainee who is not available for visit due to court date, segregation/ administrative removal, a no-visits restriction, or restraining order. **Vendor Response (written narrative here):**				
16.5.2-06	Able to alert staff when an Enemy in the Facility for this inmate/ detainee is already in the visitation area or on the same floor. **Vendor Response (written narrative here):**				
16.5.2-07	Provide the capability to record when a visit is refused by the inmate. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
16.5.2-08	Include the ability to schedule inmate/ detainee movement to/from the visiting area and the housing/work areas. **Vendor Response (written narrative here):**				
16.5.2-09	Able to provide available visitation booths/locations in the facility. **Vendor Response (written narrative here):**				
16.5.2-10	Able to print an "inmate/ detainee pass" indicating visit date/time and booths/locations in the facility. **Vendor Response (written narrative here):**				
16.5.2-11	Able to schedule an inmate/ detainee for a visit once the visitor is logged in. **Vendor Response (written narrative here):**				
16.5.2-12	Able to print a "visitor pass" indicating visit date/time and location in the facility. **Vendor Response (written narrative here):**				
16.5.2-13	Able to record any unusual inmate/ detainee behavior. **Vendor Response (written narrative here):**				
16.5.2-14	Able to record visitor, inmate, and visit result information for research and reporting purposes. **Vendor Response (written narrative here):**				
16.5.2-15	Able to accept a data exchange from a video visitation system. **Vendor Response (written narrative here):**				

17 Escapes/ Fugitives

17.1 Business Capabilities Description

The solution must provide the ability to identify a person as a fugitive and capture the information supporting that status: warrant, detainer, court order, etc. The system must also identify the agency from which the person is a fugitive. Paper warrants are retained and must be removed from the physical file upon service. Warrants are sent back to the Court of origin to be removed from the system. The Fugitive Office enters the disposition of all warrants manually. The Fugitive Office accounts for all warrants and warrant activity in a monthly Warrant Activity Report. They also track all the fugitive arrest tickets received by the front desk.

17.2 Business Rules

While there are no high level business rules, any specific rules will be identified during the Requirement Verification sessions.

17.3 Process Activities

1. Declare an escape
2. Create any wanted information
3. Distribute information to various agencies
4. Receive an escaped inmate

17.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

17.4.1 Review Warrant/Fugitive Information

1. Review warrant information
2. Verify warrant removed after service
3. Enter incoming fugitive information
4. Enter outgoing fugitive information

17.4.2 Generate Reports

1. List of oustanding warrants
2. List of warrants served
3. List of warrants removed by court
4. Summary of extradition activities
5. Daily/Monthly daily warrant and extradition reports.

17.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the fugitive and extradition processes.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
17.5-01	Able to document an inmate's status as a fugitive from Lucas County or from another agency (local, other county, state, or federal). **Vendor Response (written narrative here):**				
17.5-02	Enable the fugitive staff to search inmate/ detainee records within the Jail. **Vendor Response (written narrative here):**				
17.5-03	Able to provide to the fugitive staff information from the courts on new warrants and warrant status changes in a queue to initiate action and track warrant notes. **Vendor Response (written narrative here):**				
17.5-04	Able to electronically capture, store, view, and remove warrant and detainer information. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
17.5-05	Able to verify that a warrant or detainer has been physically removed from the physical file (if any) and from the JMS, and that the court that issued the warrant (Common Pleas, any Municipal Court) has changed the status of the warrant or detainer when that warrant has been served. **Vendor Response (written narrative here):**				
17.5-06	Enable the fugitive staff to view electronically the up-to-date status of a warrant and detainer. **Vendor Response (written narrative here):**				
17.5-07	Able to print and transmit electronically warrant and detainer information. **Vendor Response (written narrative here):**				
17.5-08	Provide the ability to view and print inmate/ detainee mug shots. **Vendor Response (written narrative here):**				
17.5-09	Provide an electronic fugitives/warrants/detainer activity log to record related activities. **Vendor Response (written narrative here):**				
17.5-10	Provide the ability to record and view incoming extradition information. **Vendor Response (written narrative here):**				
17.5-11	Provide the ability to record and view outgoing extradition information. **Vendor Response (written narrative here):**				

18 Movement

18.1 Business Capabilities Description

This section describes the requirements that support the the movement of inmates/ detainees detained in Lucas County Jail/ detention facilities.

Typical movement activities managed by the pod officer include: attorney visits; video visitation; religious services; medical services; mental health services; count; video arraignment; court scheduling; use of law library; and movement out of and back into the pod. The pod officer also has the responsibility to closely monitor and track the activities of high profile inmates.

A typical scenario is when the pod officer is notified of an attorney visit. The pod officer notifies the inmate, prepares a hall pass, and records the visit in the JMS in Inmate/ Detainee History. The pod officer is notified that the inmate/ detainee has a visitor and notifies the inmate. If the inmate/ detainee accepts the visit, the pod officer sends the inmate/ detainee to the designated video visitation booth on the floor.

Monday through Friday, the pod officer receives the court list which contains the inmate/ detainee name and the court division. The pod officer will ensure that the inmate/ detainee is ready to go to court and will book him out to court. When a count is called, the pod officer begins a formal count and visually confirms the inmates/ detainees who are in the pod and accounts for inmates/ detainees who may have been moved to court, medical, or work.

18.2 Business Rules

While there are no high level business rules, any specific rules will be identified during the Requirement Verification sessions.

18.3 Process Activities

1. Schedule movement
2. Track inmate/ detainee movement both internal and external

18.4 Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

18.4.1 Schedule Inmate/ Detainee Movement

1. Schedule inmate/ detainee movement to activity
2. Move inmate/ detainee to activity out of a cell/ housing unit
3. Arrive an inmate/ detainee at an activity
4. Arrive a returning inmate/ detainee into a cell/ housing unit
5. Display a Late Arriving Notice
6. View inmates/ detainees at locations
7. View inmate/ detainee movement history

18.4.2 Generate Reports

1. List of scheduled movements
2. List of movements completed
3. Report of inmate/ detainee movement history
4. List of Enemy in Facility
5. Daily/Monthly daily movements reports.

18.5 Detailed Application Capabilities

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
18.5-01	Able to regulate inmate/ detainee movement within the Lucas County facility. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
18.5-02	Mechanisms for Tracking Inmate Movement Able to support various mechanisms for tracking inmate movement within, into and out of the facility, including but not limited to: a. Bar code b. RFID (Radio Frequency Identification Device) integrated into the inmate bracelet c. Manual entry of departures and arrivals **Vendor Response (written narrative here):**				
18.5-03	Provide for the real time recording of the departure or arrival an inmate/ detainee at any number of user-defined locations throughout the facility. **Vendor Response (written narrative here):**				
18.5-04	Allow a facility to interface with a commercial off the shelf application for card reading or barcode scanning or RFID. **Vendor Response (written narrative here):**				
18.5-05	Able to detect an enemy in the facility before the inmate/ detainee moves to that location. **Vendor Response (written narrative here):**				
18.5-06	Record and maintain the history of all movement of an inmate/ detainee (inmate, date and time, location). **Vendor Response (written narrative here):**				
18.5-07	Able to move a group of inmates/ detainees and allow for exceptions to group. **Vendor Response (written narrative here):**				
18.5-08	Allow for the time between when an inmate/ detainee departs one location and arrives at the destination, known as “on the move” or “in transit.” **Vendor Response (written narrative here):**				
18.5-09	Provide a notice to the arrival location for any inmate/ detainee who is late in arriving. **Vendor Response (written narrative here):**				
18.5-10	Provide the ability for the non-scheduled movement of inmates. **Vendor Response (written narrative here):**				
18.5-11	Enable the facility to define all inmate/ detainee locations and specify transit times from one location to another. **Vendor Response (written narrative here):**				
18.5-12	Able to query inmate/ detainee movement information. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
18.5-13	Ensure that the all movement is integrated with the count module to facilitate accurate system count of inmates/ detainees at all locations. **Vendor Response (written narrative here):**				
18.5-14	Able to produce, view and/or print reports to include schedules. **Vendor Response (written narrative here):**				
18.5-15	Capture information about an inmate's appointments, scheduled inmate/ detainee activities within the facility (programs, education, etc.), and external trips. **Vendor Response (written narrative here):**				
18.5-16	Able to display a complete list of scheduled activities by cell/ housing unit, inmate, date, destination, and/or activity type. **Vendor Response (written narrative here):**				
18.5-17	Able to prioritize one activity over another. Example: a court trip vs. a GED class **Vendor Response (written narrative here):**				

19 Searches and Shakedowns

19.1 Business Capability Descriptions

This modules enables the facility to schedule searches and systematic shakedowns in accordance with the facility policy, and document the results of the searches. Each facility has a policy to conduct cell/ housing unit and common area searches and shakedowns to look for contraband and weapons. Every week a group of cell/ housing units and common area are identified for searches across the 3 shifts. This information is provided to the officers who then carry out the searches and document the results of the searches.

19.2 Business Rules

There are no high level business rules. Specific business rules for this section will be identified during the Requirement Verification sessions.

19.3 Process Activities

1. Identify cell/ housing units and common areas to be searched
2. Conduct searches
3. Document search results

19.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business

practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

19.4.1 Schedule Searches and Shakedowns

1. Schedule searches and shakedowns
2. View list of areas searched
3. Review search results for areas searched

19.4.2 Record Searches

1. Record the results of a cell/ housing unit search

19.4.3 Reports

1. Cell/ housing units searched by date
2. Cell/ housing units to be searched

19.5 Detailed Application Capabilities

This section describes the detailed application capabilitiesthat support the Security Operations process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
19.5-01	Enable the security staff to schedule cell/ housing unit, common area and inmate/ detainee searches as per the facility policy. **Vendor Response (written narrative here):**				
19.5-02	Able to allow the security staff to schedule additional searches, if necessary. **Vendor Response (written narrative here):**				
19.5-03	Able to allow the security staff to record and view the results of all searches conducted by cell/ housing unit or by the CERT teams, and record by Staff ID Number which staff participated in the search. **Vendor Response (written narrative here):**				
19.5-04	Able to allow the security staff to record the type and location of contraband that was seized in a cell/ housing unit or a common area during a search, and record by Staff ID Number which staff participated in the search. **Vendor Response (written narrative here):**				
19.5-05	Able to allow the security staff to generate misconduct or disciplinary reports for inmates/ detainees where contraband was found. **Vendor Response (written narrative here):**				
19.5-08	Generate statistical and trend analysis reports on an as required basis – weekly, monthly and annually **Vendor Response (written narrative here):**				

Dashboard and Reporting

20 Executive Dashboards

20.1 Business Capability Description

This section focuses on the creation of dashboards that will provide facility management with an instant real-time snapshot of the facility. This is different from the Management Statistics section which follows. While the Management Statistics section enables the creation of reports, the Executive Dashboard will provide the executive management of the facility a view of the climate of the facility.

20.2 Business Rules

Specific business rules will be identified during the Requirement Verification sessions.

20.3 Process Activities

There are no specific process activities identified in this section.

20.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

20.4.1 View a Dashboard

1. View the High Level Operational Dashboard
2. Drill Down into a Specific Indicator to view the detail

20.5 Application High Level Requriements

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
20.5-01	Provide a dashboard that enables excutive management to view Key Indicators for the last 24 hours to include parameters such as: 1. Number of Bookings/ Admissions 2. Number of Releases 3. Number of Incidents by Type such as critical incidents 4. Number of Misconduct and Disciplinary Reports 5. Type of Charges (breakdown categories TBD) 6. Breakdown of Courts 7. Classification Levels 8. Average Length of Stay 9. Average Daily Population -- Male, Female 10. Sentenced Population 11. Un-Sentenced Population 12. Other indicators that may be desired **Vendor Response (written narrative here):**				
20.5-02	Allow executive management to drill down to the detailed view of a specific indicator, if desired. For example, if the user wants to review a specific incident then the user should have that ability without having to go to another module.				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
20.5-03	Population Ceiling Warning Using a parameter of the maximum allowable population ceiling of the facility, display daily a message of the percentage occupancy of the facility when the jail/ detention population reaches one of the following thresholds: 1. 80% of population 2. 85% 3. 90% 4. 95% 5. 100% **Vendor Response (written narrative here):**				

21 Management Statistics

21.1 Business Capability Description

This section describes the requirements that support the creation of operational and management and statistical reports. When implemented, provide information and statistics that can be used to manage the Jail and other facilities and used to report to stakeholders and government agencies. Provide information related to individual inmates, groups of inmates, individual facilities, or other activities that take place. The report writing application can be used to create “ad hoc” reports as needed. The solution must support the role of jail population management analyst by:

1. Providing data to create population statistics
2. Facilitating the distribution of population statistics to stakeholders in the corrections community
3. Supporting the data analysis to facilitate identification of potential problems or data anomalies
4. Supporting jail process improvements through data gathering and analysis

21.2 Business Rules

Specific business rules will be identified during the Requirement Verification sessions.

21.3 Process Activities

There are no specific process activities identified in this section.

21.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

21.4.1 Create a Report

1. Display a Census Report for today
2. Display a Report of Inmates/ detainees booked at a Facility
3. Display a trend report, for example “number of females in jail”

4. Display a Report of Inmate/ Detainee Programs
5. Display a Daily Report

21.4.2 Distribute a Report

1. Distribute a facility report
2. Distribute a population report
3. Export data in an Excel format
4. Export data in a .csv format

21.4.3 Demonstrate Data Search

1. Demonstrate a search based on facility characteristics
2. Demonstrate a search based on inmate/ detainee characteristics

21.4.4 Generate ad hoc Reports

1. Population for gender, sex and race
2. Generate a report listing all incidents at a facility for a given time period.
3. Generate a report of Incidents for female inmates.
4. Daily/Monthly daily visitation reports.
5. List of incidents within a given time period.
6. List of contraband detected and disposition.

21.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the Management Reporting and Statistics processes.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
21.5-01	Provide a method to create and submit management reports to support the management of the Lucas County facility. **Vendor Response (written narrative here):**				
21.5-02	Able to search the inmate/ detainee records for reporting purposes based on: individual inmate/ detainee attributes (age, sex, veteran status); group characteristics (male, female, new/recidivist); charge characteristics (charge description category, for example, DV, Burlgary, Robbery etc.; sex related; felony; of misdemeanor); and incarceration parameters (housed at Jail, Weekender). **Vendor Response (written narrative here):**				
21.5-03	Able to create and send management report(s) to a specific person or group electronically for review. **Vendor Response (written narrative here):**				
21.5-04	Able to print management reports and other research output. **Vendor Response (written narrative here):**				
21.5-05	Able to interface with Lucas County court systems to receive disposition information in real time to expedite inmate/ detainee release process. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
21.5-06	Able to save and reuse ad hoc reports. **Vendor Response (written narrative here):**				
21.5-07	Able to create and save the management report. **Vendor Response (written narrative here):**				
21.5-08	Provide a climate report to view the results of selected operations for the facility. This report must show all selected processes in alphanumeric and graphic representations. **Vendor Response (written narrative here):**				
21.5-09	Provide a report that shows the census of the facility. **Vendor Response (written narrative here):**				
21.5-10	Able to export the data, such as inmate/ detainee count, in an Excel or .csv file format. **Vendor Response (written narrative here):**				
21.5-11	Able to download charge codes from the Court/Clerk CMS on demand in order to receive updates to charge codes. **Vendor Response (written narrative here):**				
21.5-12	Able to produce a report that documents the movement of an inmate/ detainee including booking, release and all scheduled movement while incarcerated. **Vendor Response (written narrative here):**				
21.5-13	Able to document the activities of the CERT units. **Vendor Response (written narrative here):**				
21.5-14	Able to run ad hoc queries on the database using a commercial off the shelf report application. **Vendor Response (written narrative here):**				
21.5-15	Able to accept a data exchange with external agencies, i.e., SSA, Child Support, VA, etc. **Vendor Response (written narrative here):**				
21.5-16	Provide the following reports (*some of these reports may be referred to in other modules*): 1. Active Population List of all inmates 2. Agency Billing (for all billable inmate/ detainee by agencies) 3. Approved Visitors 4. Barred Visitors 5. Booking Time Report 6. Cell/ Housing Unit History Report 7. Classifications Actions Pending for date range 8. Convicted Felon List 9. Count Summary by Cell/ Housing Unit showing inmate/ detainee				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
	category 10. Court trips for given date(s) 11. Day Report (admissions, movement, releases) 12. Demographic Report (by various selectable criteria) 13. Detainers Report 14. Discipline Reports for a given date range 15. Docket Report (all offenses per docket) 16. Education level per inmate/ detainee (by level, housing unit) 17. Enemy Report per inmate/ detainee (active or inactive) First Time at Facility for given date range 18. Historical Count Reports by cell/ housing unit 19. Housing Location Report per inmate 20. Indigent Inmate/ Detainee Report 21. Inmate/ Detainee Count Report 22. Inmates/ detainees with Children under Age 18 23. New Commitment Report for date range 24. Release Report for date range 25. Restraining Orders Report 26. Scheduled Activities Report for given date(s) 27. Scheduled trips for given day 28. Sex Offender List 29. Special Needs per inmate/ detainee (as per medical) 30. Veteran Report (counts and lists by service) **Vendor Response (written narrative here):**				

Other Support Functions

22 Transportation

22.1 Business Capabilities Description

The purpose of the Transportation function is to move inmates/ detainees to activities and events that take place within the justice environment and outside of the justice environment in a secure and timely manner. The delivery of all inmates/ detainees to court in accordance with the docket is critical.

Along with court transportation, inmates/ detainees are transported to medical and mental health appointments or treatment during the day and on an emergency basis. All transportation is supported by documentation created in advance. Each trip is tracked using the Trip Accounting System. Inmates/ detainees of the same security level are transported together. Admin segregation, gang members, special/high profile inmates, mental are transported separately.

22.2 Business Rules

Specific business rules will be identified during the Requirement Verification sessions.

22.3 Process Actvities

- Identify inmates/ detainees to be transported

- Transport

22.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

22.4.1 Create a Transportation Event

1. View transportation requests
2. Create, schedule, and assign driver to transportation event
3. Create, schedule, and assign driver to court transport
4. Create, schedule, and assign driver to medical transport
5. Print trip sheet

22.4.2 Screen and Assign Applicants

1. View inmate/ detainee list for transport
2. View inmate/ detainee information
3. Assign an inmate/ detainee to a vehicle
4. Print Face Sheet

22.4.3 Generate Reports

2. List of transportation events.
3. List of inmates/ detainees transported.
4. List of transportation incidents.
5. Daily/Monthly daily transportation reports.

22.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the Transportation process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
22.5-01	Able to interface with medical to receive inmate/ detainee medical transportation requests electronically. **Vendor Response (written narrative here):**				
22.5-02	Provide staff with a daily court transportation list electronically. **Vendor Response (written narrative here):**				
22.5-03	Enable transportation staff to enter a trip requested by facility management into the transportation function. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
22.5-04	Able to provide a face sheet containing inmate/ detainee information: mug shot, charges, alerts, demographic data, etc. **Vendor Response (written narrative here):**				
22.5-05	Enable transportation staff to print the documents that need to be taken as part of the transportation trip. **Vendor Response (written narrative here):**				
22.5-06	Enable the transportation staff to load inmates/ detainees into a scheduled trip. **Vendor Response (written narrative here):**				
22.5-07	Able to identify an Enemy in the Facility for an inmate/ detainee scheduled for a trip in both the vehicle and the location. **Vendor Response (written narrative here):**				
22.5-08	Enable the transportation staff to create incidents and major incidents for contraband and accidents respectively. **Vendor Response (written narrative here):**				
22.5-10	Able to print individual trip sheets for inmates. The trip sheet will include a picture of the inmate, demographic detail and trip information. The trip sheet should also include 'Precautionary information" – STG, medical, restraining order, "keep-away" information. **Vendor Response (written narrative here):**				
22.5-11	Able to produce a report on a monthly, quarterly and annual basis reporting how many non-inmates/ detainees went from point A to Point B, what type of non-inmate/ detainee and the sex of the transported non-inmate. This report should allow for a date parameter. **Vendor Response (written narrative here):**				

23 Mail

23.1 Business Capabilities Description

This module will manage the mail function and enable Lucas County to document all mail that is either received or sent by inmates/ detainees residing at the Lucas County facilities.

Incoming mail is received and reviewed. If the inmate's booking number and location is not provided, they must be verified. If the inmate/ detainee is on mail restriction, mail is returned to sender. Prohibited items identified during inspection are documented manually and returned to the sender. The inmate/ detainee is notified in writing and disciplined. Other incoming mail is only recorded if money is received. The enclosed monetary amount is deposited in the inmate's account. The Gang Unit must be notified if an inmate/ detainee receives mail from an individual with a restraining order. When an inmate/ detainee receives certified and/or legal mail, information is entered into a log book. Legal mail is not inspected by staff, but the inmate/ detainee must read such mail under supervision. The Gang

Intelligence Unit is notified of legal mail received. Outgoing mail is not reviewed unless the item is legal in nature. Mail is stamped and sent on behalf of the inmate. Inmates/ detainees are responsible for paying for outgoing certified mail unless they are indigent.

23.2 Business Rules

There are no specific business rules in this section

23.3 Process Activities

1. Review incoming and outgoing mail
2. Record required information
3. Process any money if included

23.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

23.4.1 Review Incoming/Outgoing Mail

1. Review incoming mail
2. Record mail received with contraband
3. Review mail received for inmate/ detainee on mail restriction
4. Refer mail to Gang Unit
5. Record legal mail incoming and outgoing
6. Review outgoing mail

23.4.2 Generate Reports

1. List of contraband received
2. List of inmates/ detainees on mail restriction
3. List of inmates/ detainees with restraining orders
4. Daily/Monthly daily mail reports.

23.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the mail process.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
23.5-01	Provide for the documenting mail sent and received by an inmate. **Vendor Response (written narrative here):**				
23.5-02	Able to log inmate/ detainee mail related data and inmate/ detainee correspondence-related data as required by policy. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
23.5-03	Provide a visual alert to notify staff that an inmate/ detainee has restraining order(s) in effect from a person to prevent the inmate/ detainee from sending mail to that person. **Vendor Response (written narrative here):**				
23.5-04	Able to print notice(s) to concerned parties when mail is refused, stating the reason for refusal. Outgoing mail–Notice to be sent to inmate Incoming mail–Notice to be sent to inmate/ detainee and sender **Vendor Response (written narrative here):**				
23.5-05	Able to view/print reports of inmate/ detainee mail activity. **Vendor Response (written narrative here):**				
23.5-06	Able to log all mail (incoming/outgoing) as required by policy. The system must allow for the flagging of contraband. The system must allow for the editing of a log entry to add contraband found. **Vendor Response (written narrative here):**				
23.5-07	The proposed solution must link an inmate/ detainee to mail addresses, and link addresses to inmate(s), to identify who is corresponding to multiple inmates. **Vendor Response (written narrative here):**				
23.5-08	Able to flag all incoming/outgoing mail for an inmate/ detainee under investigation of gang related activities. **Vendor Response (written narrative here):**				
23.5-09	Able to capture information on all incoming legal/certified mail and print receipts for legal, certified and/or registered mail according to policy. **Vendor Response (written narrative here):**				

24 Sentence Calculation

24.1 Business Capabilities Description

This module enables the calculation of release dates for sentenced inmates. This module will support the entry of all sentences and then perform calculations to calculate the release date as well enable receiving good time credits and account for sanctions against the inmates.

24.2 Business Rules

There a number of complex business rules around this module. It is expected that the vendor software will have the ability to configure these rules based on the policies and procedures of the facility

24.3 Process Activities

- Calculate Sentence

24.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

24.4.1 Calculate Sentence

1. Enter sentence detail
2. Calculate sentences and show expected release date
3. Override calculation results and approve new sentence

24.4.2 Generate Reports

1. List of sentences calculated
2. List of sentence overrides
3. Daily/Monthly daily sentencing reports.

24.5 Detailed Application Capabilities

This section describes the requirements that support the collection of information for the sentence calculation process used at the Lucas County.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
24.5-01	Provide a standardized sentence calculation capability that would produce the same valid and reliable sentence result regardless of location based on the same conviction information. **Vendor Response (written narrative here):**				
24.5-02	Able to record detailed sentence information. **Vendor Response (written narrative here):**				
24.5-03	Able to calculate combined release dates with the ability to override the sentence as required by management. **Vendor Response (written narrative here):**				
24.5-04	Able to incroporate both consecutive and concurrent sentences into the sentence calculation. **Vendor Response (written narrative here):**				
24.5-05	Able to override sentence calculation and capture approver information. **Vendor Response (written narrative here):**				
24.5-06	Able to record Earned Good Time. **Vendor Response (written narrative here):**				
24.5-07	Able to input Earned Good Time by authorized persons and provide an audit trail of the modifications and who made them and why. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
24.5-08	Able to record Parole Return Information. **Vendor Response (written narrative here):**				
24.5-09	The proposed solution must have ability to enter information for a civil contempt. It must be able to store the end date and notify when the end date occurs (if inmate/ detainee did not pay the fee/fine/contempt charge). **Vendor Response (written narrative here):**				
24.5-10	The proposed solution must have ability to record sentence to ensure that the inmate/ detainee is not released prior to the EOS without authorization. **Vendor Response (written narrative here):**				

Inmate/ Detainee Financial

25 Trust Accounting

25.1 Business Capability Description

This section contains the detailed application capabilitiesto enable Lucas County to account for funds held in trust for inmates/ detainees , and to account for incentives used to make purchases.

25.2 Business Rules

- Work release rent ("payback") paid by residents from wages is $10 per day or 25% of their work earnings, whichever is greater, up to a maximum of $64. 83 per day. OMB may change per diem charges annually.
- Unemployed residents may withdraw $25 petty cash from the trust account; employed residents, $50. (This amount may change yearly.)

25.3 Process Activities

- Create an inmate/ detainee trust account
- Add and deduct monies from the account based on activities such as deposits, commissary purchases, etc., and work release residents may accrue a negative balance.
- Update the inmate/ detainee balance on the trust account.

25.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

25.4.1 Create an Inmate/ Detainee Trust Account

1. Create an inmate/ detainee account

25.4.2 Maintain the Inmate/ Detainee Trust Account

1. Deposit monies into the account
2. Withdraw monies from the account
3. Display reporting capabilities
4. Work Release Rent Accounting
    a. Receipt/ deposit rent from resident
    b. Bill/ deduct rent ("payback") according to formula based on resident income
    c. Bill municipal court for amount between cost and amount received
    d. Remit revenue to Treasurer's Office

25.5 Detailed Application Capabilities

This section describes the requirements that support the Agency Billing process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
25.5-01	Provide inmates/ detainees with the ability to procure supplemental goods and services authorized by the detention facility. The solution must include the ability to establish individual accounts, capable of accepting and disbursing funds and to accurately manage, access, track and report financial transactions. **Vendor Response (written narrative here):**				
25.5-02	Able to establish and administrate parameters in the following categories: 1. Preset Restrictions 2. Automatic Posting 3. Automatic Post History 4. Batch Deposits 5. Batch Withdrawals 6. Cash Drawer a. Assignment b. Deposit/Withdrawal c. Reconciliation **Vendor Response (written narrative here):**				
25.5-03	Provide functionality to define and administer a General Ledger and its components including but not limited to the following features: 1. Chart of Accounts 2. Payees 3. Deposit Types 4. Withdrawal Types a. General Withdrawals b. Cost Recovery Withdrawals c. Inmate/ Detainee Funds Payable **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
25.5-04	Provide functionality to create, document and track General Ledger Transactions, including but not limited to the following: 1. Deposits a. Receive b. Prepare 2. Write Checks a. Check Register 3. Transfer Funds 4. Bank Reconciliation 5. Year-end Close 6. Print Bond Checks **Vendor Response (written narrative here):**				
25.5-05	Able to print Accounts Balance by inmate/ detainee and accounts **Vendor Response (written narrative here):**				
25.5-06	Provide an Abandoned Funds Process. a. Identify abandoned funds b. Transmit funds c. Enter adjustment transaction **Vendor Response (written narrative here):**				
25.5-07	Provide functionality for processing Work Release accounting: 1. Process Earnings Information 2. Post Deductions (including child support) 3. Print Checks 4. Inmate/ Detainee Balances Owed (affects daily balancing) **Vendor Response (written narrative here):**				
25.5-08	Able to process and document deposits of monies as a result of: 1. Work release earnings 2. Booking/Intake process (see Property) 3. Mail (see Mail) 4. Visits (see Visits) 5. Electronic transfer 6. interface with kiosks 7. Other (example – contraband) **Vendor Response (written narrative here):**				
25.5-09	Able to document the receipt/disbursement of monies/funds and the system must include the ability to log and track staff participation in every transaction dealing with: 1. Cash 2. Checks 3. Money Orders 4. Encumbrance of Funds **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
25.5-10	Able to produce and distribute hard copy receipts to: 1. Inmates/detainees 2. Visitors 3. Inmate/ Detainee Accounts **Vendor Response (written narrative here):**				
25.5-11	Able to verify/track the physical location of monies from receipt to disbursement to include transactions processed through: 1. Work release earnings 2. Booking/Intake (see Property) 3. Mail (see Mail) 4. Visits (see Visits) **Vendor Response (written narrative here):**				
25.5-12	Able to use funds via a Canteen account to procure goods and services authorized by the facility to include: 1. Food items 2. Stamps 3. Telephone Debit Time 4. Other **Vendor Response (written narrative here):**				
25.5-13	Able to accommodate an external vendor's secure access to financial accounts in support of Canteen processing. 1. Purchase of goods and services 2. Return of goods and services 3. Transaction documentation **Vendor Response (written narrative here):**				
25.5-14	Able to transfer funds from individual accounts to other facilities/ accounts 1. Internally (between County facilities) 2. Externally (other jails/ detention facilities) **Vendor Response (written narrative here):**				
25.5-15	Able to accept debits related to: 1. Paid Work Detail (see Programs and Community Work Programs) 2. Other **Vendor Response (written narrative here):**				
25.5-16	Able to facilitate timely and accurate disbursement of remaining monies upon Release (see Release) to include: 1. Unencumbered funds 2. Other **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
25.5-17	Able to search deposits by numerous parameters, i.e. inmate/ detainee name, booking number, name of depositor, money orders. **Vendor Response (written narrative here):**				
25.5-18	Able to Interface with money depositing services (e.g. Western Union, TransUnion) and internal commissary kiosks. **Vendor Response (written narrative here):**				
25.5-19	Able to generate an account history report by: 1. Date range 2. Inmate/ Detainee name 3. Depositor name 4. Depositors dropping off money to multiple inmates **Vendor Response (written narrative here):**				

26 Agency/ Service Provider Billing

26.1 Business Capability Description

This section contains the detailed application capabilities to enable Lucas County to bill external agencies such as federal agencies including the Federal Bureau of Prisons, the Marshals Service, USDA for juvenile detention meals, as well other agencies responsible for inmates/ detainees who are housed in Lucas County. Lucas County also obtains goods and services from service provders and receives bills from them. This section is a combination of accounts receivable and accounts payable.

A bill to another agency for each inmate/ detainee is prepared every month and sent to the agency. This is then reconciled by the Lucas County Auditor's Office and the agency responsible, and finalized.

26.2 Business Rules

Specific business rules for this section will be identified during the Requirement Verification sessions.

26.3 Process Activities

- Identify inmates/ detainees for whom bills need to be created
- Create monthly bills for inmates
- Send bills
- Collect monies and apply monies
- Receive bills from service providers, review and authorize payment

26.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business

practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

26.4.1 Billing Agencies Responsible for Inmates/ Detainees

1. View list of inmates/ detainees for the other agencies
2. Create a bill that includes all inmates/ detainees with the length of stay and the amount that corresponds to the approved billing rate for the agency
3. Create the supporting documentation package for the billing report

26.5 Detailed Application Capabilities

This section describes the requirements that support the Agency Billing process.

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
26.5-01	Able to bill external agencies for inmates/ detainees housed in Lucas County. For a date range, prepare invoice with with relevant information from inmate/ detainee records appropriate for the agency **Vendor Response (written narrative here):**				
26.5-02	Enable the facility to create an agency specific charge table so that they can record the charges for each agency. a. Bed days in the facility b. Meals served in juvenile detention **Vendor Response (written narrative here):**				
26.5-03	Record meal counts and meal refusals of inmates/ detainees . a. Data captured includes date, cell/ housing unit identifier, meal type (Dropdown: Breakfast, Lunch, Dinner). user ID. b. Notify medical department of meal refusal. **Vendor Response (written narrative here):**				
26.5-04	Provide a report for a date range showing the number of bed days for intakes/ admissions that ended during the date range. Show the case number associated with each intake/ admission. **Vendor Response (written narrative here):**				
26.5-05	Able to create a electronic exchange that consist of the bills and supporting documentation that can be sent electronically to agencies that can receive them. **Vendor Response (written narrative here):**				
26.5-06	Log Invoice Request for Services Provided When the service provider contractor invoices the facility, log the invoice in the contractor's log of services **Vendor Response (written narrative here):**				
26.5-07	Route contractor to business office for payment. **Vendor Response (written narrative here):**				

27 Medical

27.1 Business Capabilities Description

The medical module enables the jail and the other facilities to manage the medical screening of inmates/ detainees as well as the on-going care of inmates/ detainees as who are in the custody of County correctional facilities. This is the Electronic Medical Record (EMR) for the facilities and it is anticipated that this will be a separate module/ system that will integrate with the JMS.

As the inmates/ detainees are being processed in Intake, the JMS system must send the information to the medical system in real time. It is proposed that all scheduling, screening and medical activities will be performed in the medical system. Any specific restrictions such as dietary, lower bunk, mental and medical health watches that are placed upon inmate/ detainee must be sent to the JMS system where it can be viewed by appropriate security staff.

As part of the on-going medical needs, sick calls requested by inmates/ detainees where consultation with the doctor is required will be scheduled in medical system. This schedule will be sent to the JMS system to update the scheduling component of the JMS system. Any restrictions placed upon the inmate/ detainee will then be sent to the JMS where it can be viewed by the appropriate security staff.

27.2 Business Rules

Questions follow the ACA/NCCHC/DOC Medical/Health Screening guidelines

- ACA guideline 4-ALDF-4C-22 Health Screens
- NCCHC guideline J-E-02 Receiving Screening
- DOC guideline 932.06 Admission Medical Screening

27.3 Process Activities

- Conduct initial medical screenings
- Collect sick call slips
- Schedule inmates
- Conduct examination and document results
- Conduct medication runs

27.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

27.4.1 Medical Screening

1. Conduct medical screening for inmates

27.4.2 Medical Notes

1. Enter medical notes based on sick calls and encounters

27.4.3 Medical Alerts

1. View prior medical alerts for the Inmate

27.4.4 Medical Restrictions and Orders

1. Allow staff with appropriate levels to view medical restrictions, KOPs and medical orders for inmates
2. Display medical alert on inmate/ detainee information screen

27.5 Detailed Application Capabilities

This section describes the requirements that support the Inmate/ Detainee Medical process.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
27.5-01	Have a medical module with the ability to interface with an external third-party vendor. The solution must be able to document and report on all health care services provided to an inmate/ detainee, including medical, dental and mental health. **Vendor Response (written narrative here):**				
27.5-02	Able to document all persons injured and the medical attention they received. **Vendor Response (written narrative here):**				
27.5-03	Able to document and generate a report of special needs and medical restrictions of an inmate/ detainee, noting whether the restrictions are temporary or permanent (bottom bunk, no work, etc.). This information must be sent to and recorded in the JMS. **Vendor Response (written narrative here):**				
27.5-04	The proposed solution must be able to generate referrals to specific clinics, programs, etc. based on data collected (i.e. mental health, chronic disease). **Vendor Response (written narrative here):**				
27.5-05	Able to enter, retrieve and compare data related to the inmate/ detainee for each category listed: 1) Insurance coverage (Yes/No) 2) Insurance provider (free text) 3) Any medications on inmate (Yes/No) 4) If yes to medications, are they secured? (Yes/No) 5) Any pain? (Yes/No) 6) If pain, identify the region/area (free text) 7) Any medical condition (Yest/No) 8) If yes, identify medical condition (free text) 9) Identify if injured: i.e. bleeding (free text) 10) Note behavior (free text) 11) Identify drug use (Yes/No) 12) Type of usage (i.e. daily, weekly, never) 13) Drug type (Dropdown: list of values TBD) 14) Alcohol usage (Yes/No) 15) Type of usage (i.e. daily, weekly, never) 16) Officer's observation, is inmate/ detainee under the influence? (Yes/No) 17) Detox history (free text) 18) Any special diet prescribed by a physician (Yes/No) 19) Any allergies (Yes/No) 20) If yes, identify the allergen (free text) 21) Any medical condition (Yes/No)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	22) If yes, identify from drop list of choices (Dropdown: list of values TBD) 23) Surgeries (Yes.No) 24) If yes, identify the surgeries (free text) 25) Identify if pregnant (Yes/No) 26) Identify if using birth control pills (Yes/No) 27) Has female inmate/ detainee given birth in the last 6 months (Yes/No) 28) Housing for inmates/ detainees at an outside hospital with detail for hospital name (free text) 29) Previous client of the DMH (Yes/No) 30) Disability restrictions (Dropdown list: list of values TBD) 31) Watches (Dropdown: list of values TBD) 32) Special Needs (Dropdown: list of values TBD) 33) Communicable disease (Yes/No) 34) Family history (free text) In addition and based on responses to the above questions, an automatic message is sent to the user about notification to medical or other departments as needed. **Vendor Response (written narrative here):**				
27.5-06	1. Able to record inmates/ detainees that sign up for sick call appointments and to document their chief complaint. 2. The chief complaint must be selectable from a drop-down list with the ability to Triage to a specific specialty (i.e. MD, NP, PA, Nursing, Mental Health, Dental, Optometry). **Vendor Response (written narrative here):**				
27.5-07	Able to include an EMR specific to the county. The EMR would include all forms that are presently part of the medical/mental health packet. **Vendor Response (written narrative here):**				
27.5-08	The proposed system must have the capability of electronic signatures for both client and clinician. **Vendor Response (written narrative here):**				
27.5-09	The proposed system must have the ability to transfer medical records to other counties/agencies. **Vendor Response (written narrative here):**				
27.5-10	Able document medical/mental health grievances to include the chief complaint with grievance categories (Dropdown list) & resolution categories (Dropdown list). **Vendor Response (written narrative here):**				
27.5-11	Able to record inmates/ detainees who are present for medication pass. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
27.5-12	Able to identify inmates/ detainees with medically approved equipment (i.e. crutches, braces, wheelchairs). **Vendor Response (written narrative here):**				
27.5-13	The proposed solution must interface with other modules (i.e. classification, release, and security). **Vendor Response (written narrative here):**				
27.5-14	Able to have time-limited orders automatically cancel out in the database and create an alert/notification. **Vendor Response (written narrative here):**				
27.5-15	Able to provide a bi-directional interface with an external medical system (NextGen). Examples of some interfaces between the JMS and NextGen include **From Medical to JMS** – medical medical restrictions, special diets, watches, segregation clearance, Keep on Person (KOP), medical orders, inmate/ detainee appointments to name a few **From JMS – Medical** – intake information, release information to name a few **Vendor Response (written narrative here):**				
27.5-16	Able to notify users that a prior medical alert exists for an inmate/ detainee who is a repeat offender. **Vendor Response (written narrative here):**				
27.5-17	Provide for a questionnaire. This quiestionnaire should be customizable so that it can be used for different purposes. **Vendor Response (written narrative here):**				
27.5-18	Enable these questionnaires to be modified without the need for programming. **Vendor Response (written narrative here):**				
27.5-19	Enable staff with the appropriate security levels to view medical restrictions, watches and medical orders placed on an inmate. **Vendor Response (written narrative here):**				
27.5-20	Enable the medical staff to view the following information: 1. Housing history 2. Current location including offsite appointments, court, hospital, etc. 3. Inmate/ Detainee schedule 4. Reports such as juveniles in facility, inmates/ detainees over 50, inmates/ detainees with special needs to name a few. **Vendor Response (written narrative here):**				
27.5-21	Able to ingest the medical appointment information and update the inmate's schedule . **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
27.5-22	Able to attach signed consent forms, detentio facility authorization and judicial authorization for medical services (parent/ custodian unavailable) to the record of medical service. **Vendor Response (written narrative here):**				
27.5-23	Able to create alerts for medical and dietary restrictions for an inmate/ detainee when the person's record is retrieved. **Vendor Response (written narrative here):**				
27.5-24	Enable maintaining a medication log for an inmate/ detainee, with the type of medication, dosage, date/time of administration, user ID, associated with providing the medication. **Vendor Response (written narrative here):**				

28 Drug Testing and Electronic Monitoring

28.1 Business Capability Description

The Centralized Drug Testing (CDT) Unit takes urine samples for drug testing and breath samples for alcohol testing.
Supervision officers monitor defendants/ youths via electronic monitoring.

28.2 Business Rules

Reference specific state statutes and standard best practices in jails and detention facilities.

28.3 Process Activities

1. Test urine samples for presence of drugs.
2. Monitor location of defendants/ youths via electronic monitoring.

28.4 Demonstratio Scenarios

1. Track substance abuse testing (e.g., drug, alcohol) and results of those tests:
   a. Establish a daily drug testing schedule.
   b. Enter drug test results (or view test results report attached by service provider) (automatic entry in event log).
   c. Produce drug testing reports.
2. GPS Tracking
   a. Record GPS device serial # in client file.
   b. Enter count of GPS alerts from online system.
   c. Record GPS violations (e.g., exclusion zone, date, recommendation, judge approve/deny recommendation).

28.5 Detailed Application Capabilities

28.5.1 Drug Testing

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
28.5.1-01	For a date range, for an agency, generate a billing statement for drug tests performed, showing the following data: Date the Sample was Left, Test Date, Number of individuals, Number of Tests Performed Cost per Test Group, Daily Total, Cumulative Total. **Vendor Response (written narrative here):**				
28.5.1-02	Establish a schedule for drug testing for a defendant/ youth, including the type of substance tested: a. Urine drug screen (Dropdown: Amphetamine, Barbiturate, Benzodiazepine, BUP, Cannabinoid, Cocaine, Ethyl Alcohol, Heroin, Opiate, Oxy, Phencyclidine, Special ETG) b. Breathalyzer **Vendor Response (written narrative here):**				
28.5.1-03	Enable the user to record for an defendant/ youth the results of testing for substances at a date/time, with user ID: a. Urine drug screen (Dropdown: Amphetamine, Barbiturate, Benzodiazepine, BUP, Cannabinoid, Cocaine, Ethyl Alcohol, Heroin, Opiate, Oxy, Phencyclidine, Special ETG) b. Breathalyzer c. Field test **Vendor Response (written narrative here):**				
28.5.1-04	Enable the user to submit an incident report, including lack of compliance with substances conditions, with notification to staff assigned to the defendant/ youth. **Vendor Response (written narrative here):**				
28.5.1-05	Record for each substance test, the Client Name, RID, Social Security Number, Probation Officer, Agency, Drugs to be Tested For: a. Urine drug screen (Dropdown: Amphetamine, Barbiturate, Benzodiazepine, BUP, Cannabinoid, Cocaine, Ethyl Alcohol, Heroin, Opiate, Oxy, Phencyclidine, Special ETG) b. Breathalyzer **Vendor Response (written narrative here):**				
28.5.1-06	Attach lab results to the record of the client tested, with verification information of RID, Social Security Number, Probation Officer. **Vendor Response (written narrative here):**				
28.5.1-07	Attach Financial Agreement of the client tested, with verification information of RID, Social Security Number, Probation Officer. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
28.5.1-08	Import drug test results into Supervision CMS by case number. **Vendor Response (written narrative here):**				

28.5.2 Enroll in Electronic Monitoring

Business Capability Description
Supervision officers enroll adult defendants in EM with financial arrangements, and youth without financial obligation.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
28.5.2-01	Defendants/ Youths in EM Program For a date range, show a list of persons, case numbers, start date, end date, type of EM equipment, restriction type (Dropdown: list of values TBD) **Vendor Response (written narrative here):**				
28.5.2-02	Enable a user to set up an account for electronic monitoring of a defendant/ youth, including the following terms: a. Financial terms: installation fee, ongoing fee per day/ week/ month b. Restrictions/ permissions on movements **Vendor Response (written narrative here):**				

28.5.3 Electronic Monitoring Results Reports

Business Capability Description
Supervision officers review EM results at EM provider website, update Supervision ROA, and report EM incidents.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
28.5.3-01	EM Monitoring Results For a date range, show a list of persons, case numbers, date of monitoring, type of EM equipment, monitoring results type (Dropdown: list of values TBD) **Vendor Response (written narrative here):**				
28.5.3-02	Schedule and make random calls to a defendant/ youth to verify presence at the location where they are supposed to be, and record results in Supervision ROA. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
28.5.3-03	Enable a user to submit an incident report, including lack of compliance with electronic monitoring conditions, with notification to staff assigned to the defendant/ youth. **Vendor Response (written narrative here):**				

29 Modify Processes and Respond to Changes of Event and Person Status

29.1 Business Capability Description

Officers and case managers need to add and change workflows and business rules to meet changing legal and work requirements. They track status events in a booking/ admission (i.e., special conditions about event or person status) and use those events and statuses to determine what actions need to be performed.

Events may originate externally or internally. User may set status manually or status may be set automatically by the application. Either way, the application may automatically perform a specified action or inform the user of the event or status. A change of status may result in alerts, ticklers, or notifications and prompto the user to take appropriate action.

29.2 Business Rules

Reference specific state statutes and standard best practices in jails and detention facilities.

29.3 Process Activities

1. Fill a data field based upon the value of another data field (Dropdown: list of values)
2. Trigger document production - Generate and print document(s) triggered by a specific event, event outcome, disposition, condition, or set of conditions (rule-based).
3. Modify a workflow or business rule via system administration function.

29.4 Demonstration Scenarios

29.4.1 Demonstrate the process for maintaining process workflow, and configure setting up chained events in the following workflows:

1. Receive appeal of grievance
   - Add the supervisor of the officer involved, in addition to the Grievance Coordinator
2. Change the workflow in the booking/ admission process

29.4.2 Demonstrate the process for maintaining facility business rules.

1. Change the fee for GPS electronic monitoring, effective January 1
2. Add a status alert for ‘Disability’ which appears as a flasher when the person’s record is accessed

29.5 Detailed Application Capabilities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
29.5-01	Configure Workflow for Routing Tasks Configure workflows for routing tasks to work roles who must take action on them (e.g., route grievance to supervisor with authority to approve, route completed reclassification to supervisor for approval) **Vendor Response (written narrative here):**				
29.5-02	Configure Person/ Event Status Flags Set up person/ event status flags to trigger and support automated work procedures, such as interpreter needed, release, medical appointment, etc. **Vendor Response (written narrative here):**				
29.5-03	Configure Business Rules Set up business rules appropriate to business processes as set by facility policy, to update the case status whenever a certain condition is detected or a case event is recorded. Business rule settings are Sys Admin-modifiable through a business rules table. **Vendor Response (written narrative here):**				
29.5-04	Define Sequence of Events in Data Entry Configure data entry screens sequentially to lead a user through data entry. **Vendor Response (written narrative here):**				
29.5-05	Scheduling Trigger Prompt the user to schedule the next appropriate activity when an event is completed. **Vendor Response (written narrative here):**				
29.5-07	Format of Alerts (Flashers) 1. Display alerts (flashers) at the top of the relevant screen display 2. On a person or other screen, display a flashing red alert (flasher) with an appropriate message based on the status. **Vendor Response (written narrative here):**				
29.5-08	Person/ Event Status for Alerts (Flashers) and Notifications The following event/ person statuses activate a flashing alert (flasher) when the case or person record is displayed, prompting the user to perform or avoid some action: 1. Court Event Today 2. Court Event Tomorrow 3. Deferred Judgment/ Sentence 4. Diversion Status 5. Gang-Affiliated 6. Grievance Outstanding 7. Hostile 8. In Custody 9. Interpreter Needed 10. Juvenile (Age of Defendant) 11. Medical Alert 12. No-Contact Orders				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	13. On Probation 14. Pickup Order 15. Sealed/ Expunged Case 16. Sex offense 17. Warrant Outstanding 18. Victim in court case 19. Violent Tendencies **Vendor Response (written narrative here):**				
29.5-09	Format of Ticklers and Notifications 1. Inmate/ Detainee Name 2. Booking/ Admission Number 3. Person/ Department setting up the tickler/ notification 4. Person/ Department receiving the tickler/ notification 5. Date Created 6. Time Created 7. Tickler/ Notification Message Contents **Vendor Response (written narrative here):**				
29.5-10	Ad hoc Message Alert Alert a user or department with a screen message or email. Vendor Response (written narrative here):				
29.5-11	Display of Event Statuses – Action Correlation Table Display As of a given date, a display of event statuses and person statuses specified by facility policy with actions related to the change of status **Vendor Response (written narrative here):**				
29.5-12	General – Person/ Event Status Flag - Manual or Automatic Update Manually update a person/ event status flag where no event code triggers automatic update, or automatically update a status flag triggered by a business rule. **Vendor Response (written narrative here):**				
29.5-13	Tickler - Show Event as Not Yet Due Specified event is waiting in a certain step in the process. It may not be yet available for processing. Example: PREA assessment has not been submitted yet, but it is visible to internal staff as in process. **Vendor Response (written narrative here):**				
29.5-14	Tickler - Show Event as Due Specified event is waiting in a certain status xxx days before due date. It is available for processing. Example: A schedule movement is due. **Vendor Response (written narrative here):**				
29.5-15	Tickler - Show Event as Overdue, xxx Days after the Due Date It may be still available for processing by the allocated resource but is also visible to a person in a higher role as overdue. Example: Review of a grievance is late (not accomplished by the set time).				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
29.5-16	Tickler - Determine Due Date and Escalation Parameter Determine milestones for each event as due date, escalate xxx days before due date, timeout nnn days before due date. Example: A scheduled reclassification is due. **Vendor Response (written narrative here):**				
29.5-17	Tickler - Escalation of Ticklers Automatically notify a user's supervisors if a tickler is not responded to within a period set by parameter. See **28.5-16 Determine Due Date and Escalation Parameter**. **Vendor Response (written narrative here):**				
29.5-18	Tickler - Automatic Deletion of Ticklers Delete tickler automatically when the designated action is taken. **Vendor Response (written narrative here):**				
29.5-19	Configure Notification Format - Enable the user to create a new notification 1. Enter unlimited message text 2. Indicate the user the event that the message applies to. 3. Indicate the department(s) the message is to be sent to. 4. Verify the department against the master department list. If the department is not contained on the list, display an error message and the entry shall not be accepted. 5. Indicate the department from which the message originated. 6. Allow for additional data elements specific to the department the message is being routed to. 7. Request a "return receipt" to be sent after the original message has been selected for viewing by the receiving department/person. **Vendor Response (written narrative here):**				
29.5-20	Notification - Status Flags and Related Notifications Send a notification based on status. See Person/ Event Status for Alerts (Flashers) and Notification requirement. **Vendor Response (written narrative here):**				
29.5-21	Notification - Notification Actions Enable a user to take action based on the user's notification: 1. Sort messages by Defendant Name by Booking/ Admission Number by reverse Date/Time Created 2. Display the elements Display of Ticklers and Messages/ Notifications 3. Enable a user to select a message for further processing 4. Enable a user to delete a message 5. Enable a user to forward the message to one or more departments 6. Enable a user to add a comment which will prefix the original message text.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	7. Enable a user to print the message 8. When the receiving Department is identified as having "Automatic Message Deletion", delete the specified message after the user has returned to the Message Display from their review/processing of the specified message **Vendor Response (written narrative here):**				
29.5-22	Import Alerts, Ticklers and Notifications from Court Case Management Alerts, ticklers and notifications applied to persons and court cases are imported to also apply to booking/ admission. **Vendor Response (written narrative here):**				
29.5-23	Notify External Organizations Create locally configurable e-mail notifications for other organizations, like prosecutor or police department. **Vendor Response (written narrative here):**				
29.5-24	Department Master Table This table contains the departments used during generation of messages/ notifications as “to” and “from” fields (e.g., Gang Unit, Fugitive Office, Security Unit, Other facility, Clerk, Court, Probation, Prosecution). **Vendor Response (written narrative here):**				
29.5-25	Staff Master Table This table contains Staff Name associated with a Staff ID Number, separate from User ID, for use in documenting actions taken by the staff member in various activities in the jail. **Vendor Response (written narrative here):**				

30 Interfaces

30.1 Business Capabilities Description

There are a number of interfaces that will be required for the Lucas County System. These can be classified into Internal and External interfaces. The internal interfaces will be for systems such as the medical system, the commissary system, the kioks, and other systems that are internal to the correctional facilities.

The external systems will be systems such as the court systems, the police systems, etc. It is anticipated that the integration for external systems will be thru the utilization of a Service Oriented Architecture and leveraging the Global Reference Architecture (GRA) and National Information Exchange Model (NIEM) standards.

30.2 Business Rules

Specific business rules for this section will be identified during the Requirement Verification sessions.

30.3 Process Activities

- Not applicable

30.4 Demonstration Scenarios

This section describes the scenarios that the selected vendor finalists must complete for observation by Lucas County. It is recognized that the Vendor's jail/ detention management system will not yet have been configured to work for Lucas County. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Lucas County. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

30.4.1 Current Interfaces

1. Configure exchange of information between the JMS and 2 systems

30.5 Detailed Application Capabilities

This section describes the requirements that support the Inmate/ Detainee Medical process.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
30.5-01	A list of all interfaces currently in use at is specified in **Exhibit A**. The vendor must review them and describe how the vendor's solution will support existing interfaces. In addition, there will be desire interfaces that must be supported. **Vendor Response (written narrative here):**				

Exhibit A –Interfaces/ Data Exchanges

Current Interfaces

1. Commissary System
2. Medical System
3. Inmate/ Detainee Phone System
4. Mugshot System: When booking record is stored a new row is created in the mugshot queue on the mugshot workstation. This allows the booking officer to then take the mugshot photo using third party vendor software (ID Networks ImageNet) and return the mugshot photos back to the IR system to be attached to the booking record and used in the line-up program.
5. Food Services System
6. Officer Scheduling
7. Work Order Tracking System
8. Jail Notification from Municipal Court (TMS): Occurs when a charge is added at Toldeo Municipal Court for in-custody inmates at LCCC. If charge meets specified criteria, the LCCC is notified within 15 minutes of charge being added to the inmate's record at TMC. This allows for officers at the jail to append the charge to the inmates current booking, preventing unauthorized releases from the jail.
9. Ohio Court Network (OCN): Daily File Extracts of Booking/Charge Records
10. Livescan AFIS: Programming determines whether the offenses on the booking record qualify for ten-prints. If the booking record qualifies, then a background program generates a record that includes the inmate's bio and charge data and delivers it to the Livescan. The officer then only has to open the record and add the ten-prints and the palm prints in order to send to BCI&I. This process prevents the officer from having to double enter the booking information on the Livescan ten-print record.
11. Police RMS System
12. Public Defender CMS
13. VINE: File extracts sent every 15 minutes to VINE. This is a notification system that notifies victims of an inmate's release from the LCCC.
14. Social Security Administration
15. Homeland Security
16. Automated LEADS Inquiries: Generates automated wants/warrants and CCH Queries on new bookings for LEADs Certified Officers to review prior to the inmate's release.
17. Warrants: BW and OW Pushed to JMS: At time of booking the RID of the Inmate is used to gather the recently cleared warrants from TOLPOL and OREPOL and load the charges automatically on the booking record.
18. DNA Collection Archive: Collects information from the CCH results that indicate whether inmates DNA is on file with BCI&I. This prevents booking officers from having to take subsequent DNA samples from inmates after the initial sample is taken and on file with the State.
19. LCCC Booking and Mugshot Data loaded into the current Probation system to prevent double entry of the LCCC bookings into the Lucas County Pre-trial services software. This process is called through a webservice using the booking number as the parameter to pull in the data

Desired Interfaces

1. Proposed Court/Clerk CMS
2. Proposed Supervision/ Probation CMS

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A. Introduction to Business Capabilities

These requirements for a case management system (CMS) are based on business capabilities which describe what prosecutors do in the course of case management. Business capabilities incorporate the goals and performance objectives of the organization, and are broken down in further detail, in detailed business capabilities.

Business capabilities incorporate the goals and performance objectives of prosecutors, and are broken down in further detail, in detailed business capabilities. Business rules, process activities, reports/ displays, application capabilities and data needs related to detailed business capabilities follow the numbering scheme of the business capabilities. Vendors are to respond to the requirements in the matrix.

1) Organization of Business Capabilities by Case Type. The table below shows how adult criminal, juvenile case prosecution and civil matter/ case capabilities are grouped together because of the characteristics that these case types have in common, and which are different and separately described.

Criminal	Juvenile	Civil
1. Initiate Prosecution Case/ Matter		
2. Criminal Case-Specific Case Initiation	3. Juvenile Case-Specific Case Initiation	4. Civil Case-Specific Matter/ Case Initiation
Common Capabilities for all Case Types 5. Prosecute Criminal & Juvenile Cases and Represent Civil Clients in Civil Matters/ Cases		
6. Criminal- and Juvenile-Specific Prosecution Capabilities		
7. Manage Victims & Witnesses		
8. Appeals		
9. Manager Attorney & Legal Assistant Workload		
10. Measure Prosecuting Attorney's Office Statistics		
11. Adapt to Changing Business Environment		

2) Vendor Responses to Matrix of Requirements

The requirements which vendors will respond to are contained in a requirement matrix with the following format:

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
Reference Number	**Title of Requirement** Description of Requirement **Vendor Response (written narrative here):**				

Legend of Response Codes:

- I = Included
- C = Must Customize to meet requirement – and estimated hours to customize
- N = Not Supported (not willing or able to customize)

The types of requirements below which vendors will respond to will are contained in the formatted table above.

RD Report/ Display Needs	These requirements are called "Report/ Display Needs" because they can be printed on paper or displayed on a screen, at the option of the user. Almost all reports are specified for a given date range with parameters for single or multi-county districts or multiple districts.
AC Application Capabilities	Application capabilities are functions that an application must perform during a business process. Vendors will be required to state whether their jury management solution has an application capability built into it through configuration, or whether it must be customized. Application Capabilities are numbered sequentially in these requirements.
DE Data Exchanges	Data exchanges mean data and document content imported to and exported from the CMS.
DN Data Needs	Data elements required by other requirements are identified as data management needs, such as indicator flags, drop-down lists of values, and other kinds of data used by business rules and for Report/ Display Needs.
TI Technology Infrastructure Needs	Infrastructure needs include requirements related to hardware, systems software, network capabilities and facilities.

These four items associated with a numbered Business Capability will be in free text:

1 Business Capability Description
2 Business Rules
3 Process Activities
4 Demonstration Scenarios (following the matrix of requirements)

3) Notable Characteristics of the Prosecution Case Management System

Separation of Juvenile Data from Adult Data.

Vendors are notified here of the non-functional requirement that juvenile supervision data must be inaccessible to adult supervision users.

Prosecution Case Data Separate from but Related to Court Case Data

Prosecution cases of criminal, juvenile and civil case types in the court contain information added by Prosecution staff which is confidential to the Prosecuting Attorney. Court case data is either imported into Prosecution cases or viewable in conjunction with Prosecution cases.

Prosecution civil matters on behalf of clients of the Prosecuting Attorney Civil Division are not filed as civil cases in the court, and remain as entirely internal matters of the Civil Division. These civil matters pertain to the Prosecuting Attorney acting as legal counsel for county officials, county agencies, townships and various boards.

4) Sections of the Prosecution CMS RFP:

- Business Capabilities and requirements matrix (this document)
- Demonstration Scenarios (this document)
- Non-Functional Requirements
- Existing Interfaces – None.
- Desired Data Exchanges
- Legacy Data Structures – None.

1 Initiate Prosecution Case/ Matter

Business Capability Description

Prosecution cases have two methods of origination: (1) Criminal and juvenile cases are initiated in the Prosecuting Attorney's office and are filed in the Criminal Division or Juvenile Division; (2) Civil matters originate in Prosecuting Attorney's office and are handled internally, or may be filed in the Civil Division.

Information in cases which are filed in the court contain mostly public information, but information which is not filed in the court is confidential work product and is not accessible to anyone outside the Prosecuting Attorney's office.

Prosecution cases which are filed in the court contain documents filed by the Prosecuting Attorney's office and by defense attorneys, and schedule information relating to those cases. Prosecution cases which are not filed in the court ("matters") contain internal documents, person information which is confidential, and schedule information relating to internal office events.

Business Rules

BR 1-01 [Ethical Rules concerning attorney work product]

1.1 Criminal and Juvenile Person/ Case Search

Business Capability Description

Attorneys and Prosecuting Attorney staff involved in prosecutions in Criminal and Juvenile Divisions search for persons (parties and other participant roles such as victims/ witnesses and attorneys) and cases, when retrieving records for further processing, including initiating a new Prosecution Case.

The business rules for linking cases reflect the Court's policies.

Business Rules

BR 1.1-01 Related (Traveling-With, Companion) Cases

Court policy identifies **<Related Cases>** as case involving a single party (same defendant) which the judge wants in court at the same time, without consolidation.

BR 1.1-02 Associated (Co-Defendant) Cases

Court policy identifies <**Associated Cases>** as case involving co-defendants from the same offense or incident, separate criminal cases filed for each defendant. The prosecutor is prosecuting them in separate trials.

BR 1.1-03 Consolidated (Merged) Cases

Court policy identifies <**Consolidated Cases>** as cases involving the same parties and issues, unifying them into a single action resulting in a single judgment or, sometimes, in separate judgments.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1-01	**Person Search Results Display** Display case and person search results using one or more of the data fields below, and filter search results by sortable fields in ascending or descending				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	order: 1. Municipal Court Case Number 2. Last Name, First Name, Middle Initial, Suffix 3. Alias Name(s) 4. DOB 5. SSN 6. Regional ID (RID) Number 7. FBI Number 8. Height 9. Weight 10. Hair Color 11. Eye Color 12. Sex 13. Race/ Ethnicity 14. Address (including address history) 15. Phone 16. Investigating Agency 17. Record Bureau Number 18. Type of Filing 19. Charges (Revised Code, Charge Description, Felony Degree, Offense Date Range Charge Applies to, ITN Number) 20. Date of Court Case Initiation 21. Case Type: Offense Class: (Dropdown: list of values). 22. Case Status: (Dropdown: Open, Closed, Warrant), default to Open 23. Date of Disposition, if applicable **Vendor Response (written narrative here):**				
AC 1.1-01	**Search Using Person and Case Attributes** Search case and person information shown in **RD 1.1-01 Person and Case Search Results Display**. **Vendor Response (written narrative here):**				
AC 1.1-02	**Download Search Results** Download results of searches into csv file, Excel or other pre-defined format. **Vendor Response (written narrative here):**				
AC 1.1-03	**Search Using Other Methods** 1. Show Probability of Same Name Search Results Display probability that the name searched matches names returned, based on the likelihood of valid identification (Dropdown: fingerprints, alias match, demographics match, mug shot available), placing the highest probability matches at the top of the search list, to avoid creation of duplicate records for individuals 2. Score possible matches is based on results of search criteria. The persons with the highest score will appear first in the list. The scoring criteria are table-based and can be changed by the system administrator to fine tune the results. For example Exact surname match – 100 Partial surname match - 30				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Exact first name match – 50 Partial first name match – 15 Exact date of birth match – 60 Exact day and exact month - 10 3. Search data using wild card characters and Boolean operators (e.g., and, or, not). 4. Search names on various combinations of person name (e.g., full name, last name only, part of first or last name, abbreviation of a proper name (e.g., Liz or Beth for Elizabeth)), hyphenated name, "street/gang" name, or alias name and type of alias. 5. Search data using wild card characters and Boolean operators (e.g., and, or, not). 6. Search using all or part of person identifiers (e.g., partial DL number) 7. Support phonetic and other complex (multi-field) algorithms for matching identities to avoid creation of duplicate records for individuals. 8. Search for cases using the person address field. 9. Specify a combination of name component and physical descriptor. 10. When a Date of Birth has been specified, enable a user to specify that an exact match to the specified Date of Birth is to be found. 11. When a Date of Birth has been specified, enable a user to specify that persons having similar birth dates are to be returned (e.g., same month, same day, same year). 12. Perform a name search by specifying a full last name and partial first name 13. Partial Field Searches Search based on partial information, Dropdown: a partial driver license, license plate, VIN number, citation number, summons number. 14. Wild Card and Boolean Searches Search data using wild card characters and Boolean operators (Dropdown: and, or, not). 15. Magnetic Stripe or Bar Code Search Conduct a search by swiping a driver's license or other form of ID with a magnetic stripe or bar code. 16. Hispanic and Native American Names Permit searching of Hispanic and Native American names, using special approaches to deal with differences in these names **Vendor Response (written narrative here):**				
AC 1.1-04	**Identify Linked Cases/ Matters** Enable the user to view Related, Associated and Consolidated cases as defined in the business rules of this Business Capability. **Vendor Response (written narrative here):**				

1.2 Civil Case/ Matter Search

Business Capability Description

Attorneys and Prosecuting Attorney staff involved in civil cases and matters search for persons (parties and other participant roles such as organization contact persons and attorneys),

organizations, matters and cases, when retrieving records for further processing, including initiating a new civil case/ matter.

Req. #	Requirement	Response Code			Estimated Hours to Customize

RD 1.2-01	**Civil Matter/ Case, Person and Organization Search Results Display**
	Using Civil Matter/ Case, Person and Organization Search Parameters, display the following data fields:
	• Case/ Matter Identifier
	• Case/ Matter Caption/ Title
	• Case/ Matter Type Indicator (Dropdown: contract review, advisory opinion, asset tax foreclosure, forfeiture, arbitration, senior protection)
	• Case/ Matter Forum (Dropdown: Arbitration Panel, Court of Appeals, Federal Court, None)
	• Case/ Matter Status (Dropdown: Closed, Open, Post-Disposition)
	• Client Name (Last Name, First Name, Middle Name, Suffix)
	• Client Address (Type Dropdown: Mail, Residence, Legal))
	• Client E-mail Address (Type Dropdown: Home, Cell, Work 1, Work 2, Other), Primary checkbox
	• Client Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), and Primary checkbox
	• Client Organization Name
	• Client Organization Type (Dropdown: agency, board, corporation, partnership, DBA (individuals "doing business as" an unincorporated company)
	• Client Contact Person (Last Name, First Name, Middle Name, Suffix)
	• Client Contact Person Role (Dropdown values:)
	  ○ For government entity, elected official, board member, employee
	  ○ For corporation, registered agent, officer, employee
	  ○ For partnerships, partner, employee; For DBA, owner, employee
	  ○ For civil cases: party, victim, witness, attorney, social worker
	• Assigned APA
	• Opposing Counsel Name (Last Name, First Name, Middle Name, Suffix)
	• Assigned PA investigator
	Vendor Response (written narrative here):				

AC 1.2-01	**Search Civil Matters/ Cases Using Person, Organization and Case-Related Fields** Search civil matters/ cases using person, organization and matter/ case information shown in **RD 1.2-01 Civil Matter/ Case, Person and Organization Search Results Display**. **Vendor Response (written narrative here):**				

1.3 Criminal and Juvenile Case History Search

Business Capability Description

Judicial officers and juvenile prosecutors and staff perform case history searches of juveniles accused of juvenile and criminal offenses. Judicial officers and criminal prosecutors and staff perform case history searches of adults accused of criminal offenses and of witnesses.

Req. #	Requirement	Response Code			Estimated Hours to Customize
RD 1.3-01	**Criminal History Search Results Display** Display the criminal and juvenile cases of the named person, using identifiers in **RD 1.1-01 Person Search Results Display**. **Vendor Response (written narrative here):**				
AC 1.3-01	**Criminal History Retrieval** Retrieve an Criminal History record by specifying an MNI Number 1. Retrieve a Criminal History record by performing the Name Search function, and present all Criminal History records linked to the Master Name Index ID returned by the Name Search function 2. Retrieve Criminal History records by specifying a Court Case Number, and present all Criminal History records linked to the specified Court Case Number 3. Retrieve Criminal History records by specifying a Citation Number, and present all Criminal History records linked to the specified Citation Number 4. Retrieve Criminal History records by specifying a Warrant Number, and present all Criminal History records linked to the specified Warrant Number 5. Retrieve Criminal History records by specifying a Booking Number, and present all Criminal History records linked to the specified Booking Number 6. Retrieve an Criminal History record by specifying a Resident Address, and present Criminal History records linked to the user specified Resident Address **Vendor Response (written narrative here):**				
DE 1.3-01	**Retrieve LEADS Criminal History** Import criminal history from Ohio LEADS. **Vendor Response (written narrative here):**				

1.4 Search and Manage Documents

Business Capability Description

Prosecution staff search and manage documents in probation cases.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.4-01	**Display of Documents attached to Court Events and Prosecution Case Events in Prosecution Register of Actions (ROA)** For a court or Prosecution case number, a list of the documents associated with that case, and a hyperlink to the document image. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.4-01	**Search Text of Documents** Ability to search the full text of a document. **Vendor Response (written narrative here):**				
AC 1.4-02	**Link Documents in a Case** Ability to record the relationship between two Case Documents in the same Case. E.g. Case Document 1 is a version of Case Document 2. **Vendor Response (written narrative here):**				
AC 1.4-03	**"Send" Case Documents to Another Case** A. Ability for a Case to "send" one or more Case Documents to another Case where they become Case Documents in the other case. B. The "copy" Case Document in the recipient Case points to the original Case Document in the sending Case. **Vendor Response (written narrative here):**				
DN 1.4-01	**Document Type and Metadata** A Case Document has a document type (e.g.: letter, email, report, etc.), associated with the document type are required metadata (e.g.: for a letter: date, author, recipients, title, etc.), of any format docx, xls, png, etc. **Vendor Response (written narrative here):**				

1.5 Generate Documents

Business Capability Description
The Prosecution generates and files a variety of kinds of documents.
Business Rules
BR 1.5-01 Permission to Text Victims and Witnesses
Persons must consent to notification by SMS text.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.5-01	**Document Template List Report** This is a list of document templates with date of last update, version number **Vendor Response (written narrative here):**				
AC 1.5-01	**Document Generation** Generate documents by merging case management system data with word processing templates. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.5-02	**Template Maintenance** Add, modify, and otherwise maintain the templates and boilerplate language required to support the document generation capability. **Vendor Response (written narrative here):**				
AC 1.5-03	**E-Mail Messages** Generate e-mail notifications (e.g., receipt of document) according to business rules governing the process. **Vendor Response (written narrative here):**				
AC 1.5-04	**SMS Text Messages** Generate SMS text notifications according to business rules governing the process. **Vendor Response (written narrative here):**				
DN 1.5-01	**Document Template Table** This table contains document templates by court division or clerk function, with template name, date of last update, version number. **Vendor Response (written narrative here):**				

2 Criminal Case-Specific Case Initiation Capabilities

Business Capability Description
Led by a chief and two deputy chiefs, assistant prosecuting attorneys in the Criminal Division of the Office of the Lucas County Prosecuting Attorney represent the people of the State of Ohio in Lucas County felony prosecutions. Data in the Prosecution CMS is available only to Prosecution attorneys and staff, and charges are restricted until the Grand Jury indicts and the case is filed with the Clerk of Court and is given a criminal case number.

2.1 Screen Cases Filed in Municipal Court

Business Capability Description
Felony cases, except via direct indictment by a grand jury, begin in municipal court, subject to strict observance of deadlines.

2.1.1 Track Deadlines after Arrest for Criminal Case Initiation

Business Capability Description
The Prosecution tracks case initiation date for compliance with speedy trial law. The Court/Clerk CMS is specified to have a Case Aging Clock which tracks the age of a case, and the events that stop and start the clock.

Business Rules
BR 2.1.1-01 information or indictment is not filed within fourteen days after the date of waiver

Criminal Rule 7 requires that when an indictment is waived, the offense may be prosecuted by information, unless an indictment is filed within fourteen days after the date of waiver. If an information or indictment is not filed within fourteen days after the date of waiver, the defendant shall be discharged and the complaint dismissed.

BR 2.1.1-02 Speedy Trial

Ohio Revised Statute 2945.71 Time for trial, provides I (C)(1) that a defendant with a pending felony "shall be accorded a preliminary hearing within fifteen consecutive days after the person's arrest if the accused is not held in jail in lieu of bail on the pending charge or within ten consecutive days after the person's arrest if the accused is held in jail in lieu of bail on the pending charge," and (2) "Shall be brought to trial within two hundred seventy days after the person's arrest." (emphasis added)

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.1.1-01	**Speedy Trial Report** For a date range, filterable by prosecutor, case type, custody status, and range of number of days before speedy trial runs, list: Case Number, Defendant, Prosecutor, Case Age, Case Category. **Vendor Response (written narrative here):**				

2.1.2 On-View Felony Arrest – File Transcript Charges

Business Capability Description

Law enforcement takes a suspect into custody and books the suspect into jail when a crime is allegedly committed in the view of an officer. Law enforcement prepares an affidavit and arrest warrant to serve on the suspect in custody. The Municipal Court Division of the Prosecuting Attorney files charges in municipal court after viewing incident reports and jail booking information online.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.1.2-01	**Prepare Transcript Charges (see 1.5 Generate Documents)** Create case in Prosecution CMS and generate arrest warrant based on law enforcement affidavit. **Vendor Response (written narrative here):**				
DE 2.1.2-01	**Law Enforcement Charges Import** For a given defendant, this data exchange with the Municipal Court case management system imports documents filed in that court into the Prosecuting Attorney CMS. **Vendor Response (written narrative here):**				

2.1.3 Criminal Charges Filed in Municipal Court – Preliminary Hearing

Business Capability Description
Defendants accused of a felony offense who do not waive preliminary hearing in Municipal Court are scheduled to appear for the Court of Common Pleas to determine if probable cause exists (preliminary hearing). If probable cause is found, the defendant is bound over for indictment by a grand jury in the Court of Common Pleas, including any misdemeanor, other than a minor misdemeanor, arising from the same act or transaction involving a felony. If the defendant waives preliminary hearing, the case proceeds to Grand Jury.
Business Rules
BR 2.3.2-01 Preliminary Hearing in Felony Cases in Municipal Court
Criminal Rule 5(B) entitles a defendant in a felony case to a preliminary hearing, unless the defendant waives it. At the preliminary hearing the prosecuting attorney may state orally the case for the state, and shall then proceed to examine witnesses and introduce exhibits for the state. The defendant and the judge or magistrate have full right of cross-examination, and the defendant has the right of inspection of exhibits prior to their introduction. The court determines if probable cause exists to bind the defendant over to the Court of Common Pleas.
Process Activities
Alternatives are available to defendants charged with a felony:

- Waiver of preliminary hearing via transcript (complaint), resulting in a filing by Information
- Preliminary hearing, resulting in dismissal or bindover to Common Pleas
- Pled down in Municipal Court

2.1.4 Import Criminal Case Initiation Data and Documents

Business Capability Description
After a criminal court case has been initiated in municipal court, Prosecution staff creates a Criminal Prosecution case by using charges filed by law enforcement in documents (transcript) to populate the Prosecution case.
Incident Tracking Number (ITN)
An Incident Tracking Number (ITN) is associated with each charge, assigned by BCI at the time of a suspect's arrest. If the suspect is arrested on three charges for two different courts today, all three charges will have the same ITN, based on date and time of arrest. If the defendant is arrested two days later for additional charges, those charges will receive a new ITN. When the indictment is filed it could contain charges from the two different arrests. Therefore EVERY charge record must contain its own ITN. The ITN is the primary key when reporting dispositional information to BCI for matching the disposition to arrest charges, grand jury charges, and indictment charges.
Business Rules
BR 2.1.4-01 Criminal Case Start Date
Ohio Court Statistical Reports Definitions define criminal cases in which a person is charged with violation of a state law or local ordinance other than a traffic law or ordinance. For purposes of tracking the age of the case for these reports, the case begins at arraignment.
Process Activities
Prosecution populates a Prosecution case.

Req. #	Requirement	Response Code			Estimated Hours to Customize
DE 2.1.4-01	**Import Municipal Court Case Data to Populate Criminal Prosecution Case** This data exchange imports charge and defendant data from the Municipal Court case to populate the Prosecution case: (all fields mandatory) 1. Municipal Court Case Number 2. Last Name, First Name, Middle Initial, Suffix 3. Alias Name(s) 4. DOB 5. SSN 6. Regional ID (RID) Number 7. FBI Number 8. Height 9. Weight 10. Hair Color 11. Eye Color 12. Sex 13. Race/ Ethnicity 14. Address (including address history) 15. Phone 16. Investigating Agency 17. Record Bureau Number 18. Type of Filing (Information, Bindover) 19. Charges (Revised Code, Charge Description, Felony Degree, Offense Date Range Charge Applies to, ITN Number) 20. Date of Court Case Initiation 21. Case Type: Offense Class: (Dropdown: list of values). 22. Case Status: (Dropdown: Open, Closed, Warrant), default to Open 23. Date of Disposition, if applicable **Vendor Response (written narrative here):**				
RD 2.1.4-01	**Prosecution Case Display** (see **DE 2.1.4-01 Import Municipal Court Case Data to Populate Criminal Prosecution Case**) Display the following information in a Prosecution Case: <u>Case Data</u> (Municipal Court Case Number, Last Name, First Name, Middle Initial, Suffix, Alias Name(s), DOB , SSN, Regional ID (RID) Number, FBI Number, Height, Weight, Hair Color, Eye Color, Sex, Race/ Ethnicity, Address (including address history), Phone, Investigating Agency, Record Bureau Number) <u>Charge Data</u> (Revised Code, Charge Description, Felony Degree, Offense Date Range Charge Applies to, ITN Number) <u>Prosecution Data</u> a. Prosecutor (list of values) b. Prosecution Status (Dropdown: Open, Absconder, Completed, Death, Jurisdiction, New Violation, Revoked, Vacated) c. Prosecution Type radio buttons (Dropdown: Informal, Formal, Extradition), Pretrial) d. Agency (list of values) e. Date of First Court Appearance f. Date of Arraignment **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
AC 2.1.4-01	**Create Criminal Prosecution Case** Given a transcript, enable the user to verify the information found and create a new Prosecution Case using the data, populated with municipal court case data. **Vendor Response (written narrative here):**				
AC 2.1.4-02	**Attach Documents to Prosecution Case** Attach case-related documents to the Prosecution case (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Prosecution cases. See also **16.5 Track Evidence** and **16.2.3 Attach Documents Related to the Prosecution Case**. **Vendor Response (written narrative here):**				
AC 2.1.4-03	**Delete Documents from Prosecution Case** Enable a user to delete documents from the Prosecution case. **Vendor Response (written narrative here):**				
DN 2.1.4-01	**Prosecution Case Confidential Register of Actions** A log of case events of a Prosecution case, recording the date/ time of the events at different stages of the case (filterable by stage): assessment, intake, compliance, discharge. Drop-down choices of log entries include specified Dropdown box choices. **Vendor Response (written narrative here):**				
DE 2.1.4-01	**Enable Viewing of Court Cases** Interface with Court/Clerk CMS to view or import court case data and documents. **Vendor Response (written narrative here):**				

2.1.5 Assign Criminal Case to Prosecutor

Business Capability Description
The Prosecuting Attorney assigns a prosecutor to a criminal case in Common Pleas according to rules designed to equalize workload, and appropriate to skill levels and interests of prosecutors.

BR 2.1.5-01 Assign New Felony General Division Case to Prosecutor
[Specify the rule or algorithm]
BR 2.1.5-02 Death Penalty Cases Assigned to Prosecutors
Criminal case assigned to a courtroom, except death penalty cases which a supervisor deputy chief prosecutor assigns to prosecutors in order, rotating through list of prosecutors, or after a period of years.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.1.5-01	**Current Workload of Prosecutor** As of a certain date, the report shows the cases assigned to a prosecutor, by case type/ subtype. **Vendor Response (written narrative here):**				
RD 2.1.5-02	**Workload of Prosecutors by Division** As of a certain date, the report shows the cases assigned to prosecutors with case category, lead charge, and date assigned, judge, and summary totals by prosecutor, as contained in **DN 2.1.5-01 Case Assignment and Workload Equalization Table** **Vendor Response (written narrative here):**				
AC 2.1.5-01	**Automatically Assign Felony Cases to General Division Prosecutors** 1. Automatically assign cases to prosecutors according to **BR 2.1.5-01 Assign New Felony Division Case**, affecting workload calculations of prosecutors for maintaining equality of workload**.** 2. Record the assignment in **DN 2.1.5-01 Attorney-Case Assignment Table**. **Vendor Response (written narrative here):**				
AC 2.1.5-02	**Transfer or Reassign Cases** Enable the user to manually assign or reassign cases to prosecutors, affecting workload calculations of prosecutors for maintaining equality of workload. **Vendor Response (written narrative here):**				
AC 2.1.5-03	**Mass-Assign Cases from One Prosecutor to Another** Mass-assign a group of cases or all cases from one prosecutor to another prosecutor or among a group of prosecutors, according to workload calculations of prosecutors for maintaining equality of workload. **Vendor Response (written narrative here):**				
DN 2.1.5-01	**Attorney-Case Assignment Table** This table contains case assigned to attorneys, with case category, lead charge, and date assigned, judge. **Vendor Response (written narrative here):**				
DN 2.1.5-02	**Case Assignment and Workload Equalization Table** Business rules are configured into the case assignment table for assigning cases to prosecutors. The table records assignment of cases to prosecutors, populated when a case is assigned, either initially or as a case is reassigned manually. Table entries assigned to a different prosecutor or prosecutors. **Vendor Response (written narrative here):**				

2.2 Grand Jury Original Investigation

2.2.1 Police Investigative (Search) Warrants

Business Capability Description

Law enforcement requests assistance of the Prosecuting Attorney in preparing investigative warrants and presenting them to a judge in either municipal court or Common Pleas court. They access information in NORIS and compile additional information for preparing the warrant. Evidence is ultimately submitted to the Grand Jury.

Process Activities

1. The Prosecution generates a warrant, obtains a judge's signature and files the original with the Clerk.
2. Clerk assigns the search warrant a miscellaneous case number and seals it until defendant is indicted.
3. When a defendant is indicted, the prosecutor requests the court to order the clerk to unseal search warrants.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.1-01	**Investigative Warrant Report/ Display** For a date range, and a choice of unserved or served, or both, show the following information about warrants: Suspect/ Defendant Name, GPS , Vehicle, Identifying Number, Date, Status, Judge, Case Number, Indictment Status Vendor **Response (written narrative here):**				
AC 2.2.1-01	**Generate Police Investigative Warrants (see 1.5 Generate Documents)** Generate and save the document in the Prosecution CMS for reference. **Vendor Response (written narrative here):**				

2.2.2 Subpoena Witness(es)/ Victim(s)

Business Capability Description

The Grand Jury investigates crimes committed within the county, and issues subpoenas during the investigation to bring witnesses to testify before the Grand Jury.

See **5.6.1** **Issue Subpoenas**
See **5.6.2** **Track Service of Subpoenas**
See **5.6.3** **Cancel Subpoenas or Call Off Witnesses**

2.2.3 Seal Indictment, Unseal after Arrest

Business Capability Description

After a Grand Jury original investigation and indictment, the Prosecution keeps indictments under seal until a defendant is arrested and makes a court appearance on the indicted charges.

Process Activities

1. When the defendant under indictment is arrested, the Prosecution obtains a judge's signature to unseal investigative warrants.
2. Clerk unseals the search warrant and assigns a criminal case number.

Req. #	Requirement	Response Code	Estimated Hours to

		I	C	N	
AC 2.2.3-01	**Unseal Indictment** Mark investigative warrants as unsealed in Prosecution CMS and subject to discovery. **Vendor Response (written narrative here):**				

2.3 Grand Jury Proceedings

Business Capability Description
Grand juries meet in secret to consider evidence presented by prosecutors, and determine if probable cause exists to indict defendants.

2.3.1 Presentation to Grand Jury

Business Capability Description
The Prosecution prepares Grand Jury charges against a defendant that may differ from the municipal court transcript charges.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.3.1-01	**Prepare Grand Jury Charges** Prepare Grand Jury charges against a defendant and record the charges in the Prosecution case. 1. For each charge, include the following: a. Ohio Revised Code section b. Charge Description c. Felony Degree d. Offense Date Range Charge Applies to e. Mandatory fine & what financial receivable the mandatory fine pertains to. 2. Enable linking multiple "Indictment paragraphs" to the charge that the user will be able to select from, so the physical indictment will contain the appropriate charge language. 3. Enable adding "specifications" (ex: firearm spec, physical harm spec, etc.), which are attached to indicted counts, and linking multiple "specification paragraphs" to the spec so the user will be able to select the appropriate spec wording when generating the physical indictments. For each specification include the following: a. Description b. Revised Code **Vendor Response (written narrative here):**				

2.3.2 Grand Jury Scheduling and Attendance

Business Capability Description
The Clerk sends grand jurors who meet daily for a term of two weeks. The jury commissioner is responsible for ensuring availability of grand jurors according to the schedule. The

commissioners of jurors shall randomly draw from the annual jury list the names of not fewer than twenty-five persons. The first fifteen persons whose names are drawn shall constitute the grand jury.

Business Rules

BR 2.3.1-01 ORC Chapter 2939: Grand Juries

This statute describes the functions of grand juries.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 2.3.2-01	**List of Grand Jurors** Receive the list of grand jurors from the jury management system (via the clerk). **Vendor Response (written narrative here):**				
AC 2.3.2-01	**Track Attendance of Grand Jurors** Enable the user to track attendance at the grand jury, by entry of date of session, name of juror. **Vendor Response (written narrative here):**				

2.3.3 Evidence Forensic Testing – Track Lab Results/ Availability

Business Capability Description

Prosecutors submit some evidence for forensic examination to a crime lab.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.3.3-01	**Evidence Forensic Testing Detail Display** For each item of evidence submitted to a crime lab for forensic testing by the Prosecution: a. Case Number b. Date Sent to Crime Lab c. Crime Lab name/ location d. Evidence Reference Number e. Evidence Type (Dropdown: Blood, DNA, Documentary, Photo, Physical, Report, Video) f. Evidence Description (free text) g. Date Received from crime lab h. Results of forensic testing (free text) **Vendor Response (written narrative here):**				
AC 2.3.3-01	**Evidence Item Entry/ Update** Enter a new piece of evidence submitted to a crime lab for forensic testing, update its status, or delete a piece of evidence. See **RD 2.3.3-01 Evidence Forensic Testing Detail Display**. **Vendor Response (written narrative here):**				

2.3.4 Subpoena Witnesses/ Victim(s)

See **5.6.1** **Issue Subpoenas**
See **5.6.2** **Track Service of Subpoenas**
See **5.6.3** **Cancel Subpoenas or Call Off Witnesses**

2.3.5 Generate Grand Jury Report

See **RD 2.3.2-02 Grand Jury Report**

2.3.6 Notice of Filing of Indictment to Media

Business Capability Description
The Prosecution releases all indictments at once, at about noon, to the public and every media outlet.
Business Rules

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.3.6-01	**Released Indictments Report** For a given issued date, the Report of Grand Jury Report lists for each case a criminal case number, defendant name, address, offense(s) covered in the indictment with Indicted counts, ignored cases, continued cases, next event date if scheduled. Vendor **Response (written narrative here):**				

2.4 Grand Jury Indictment

Business Capability Description
The grand jury may hear cases transferred from municipal court, or original investigations.

2.4.1 Grand Jury Selection

See **2.2.2 Grand Jury Selection**

2.4.2 Investigation of Grand Jury

Business Capability Description
The Prosecution investigates charges and presents evidence to the grand jury.
Business Rules
[Cite rule of secrecy]
Process Activities
1. The Prosecution obtains Sealed Search Warrants
2. The Prosecution subpoenas witnesses
3. If the legal deadline is not being met, the Prosecution may no-bill the case and re-file.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.4.2-01	**List of Search Warrants and Subpoenas in Grand Jury Investigation** For a date range, or for a case, the list shows the search warrants and subpoenas issued for the grand jury investigation. **Vendor Response (written narrative here):**				
RD 2.4.2-02	**Grand Jury Report** The grand jury report shows each case considered by the grand jury – with internal case number, defendant name, charges, and whether an indictment or no-bill resulted. **Vendor Response (written narrative here):**				
AC 2.4.2-01	**Generate Grand Jury Investigation Documents** Grand jury staff assigns an internal JR case number to each case, and generates subpoenas for witnesses to testify. A subpoena duces tecum requires a witness to bring documents when testifying. See **1.5 Generate Documents.** **Vendor Response (written narrative here):**				
AC 2.4.2-02	**Generate Indictment Form** The Prosecution prepares the indictment, filling out the Defendant's Name, Charges, Type of Indictment (Dropdown: Original, Waiver), Document to be Issued (Dropdown: Warrant, Summons), Detective Name. See **1.5 Generate Documents.** **Vendor Response (written narrative here):**				
TI 2.4.2-01	**Signature Pad for Signing of Indictments** The grand jury foreperson signs the indictments electronically for transmittal to the clerk's office.				

2.5 Create Felony Case in Common Pleas Court

Business Capability Description

The grand jury reports indicted cases with indicted charges to the Clerk of Court to become Criminal Cases. The clerk assigns a Criminal case number to each, and the case become unrestricted/ public.

Process Activities

1. If a defendant is indicted, the foreman signs the indictment (but not the grand jury report), the indictments are sealed, and the clerk assigns a Criminal case number to indictments.
2. After indictment, sealed search warrants are made public.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 2.5-01	**Export Indicted Charge Data to Court/Clerk CMS** Export to the Court/Clerk CMS the following data: 1. Municipal Court Case Number 2. Last Name, First Name, Middle Initial, Suffix 3. Alias Name(s) 4. DOB 5. SSN 6. Regional ID (RID) Number 7. FBI Number 8. Height 9. Weight 10. Hair Color 11. Eye Color 12. Sex 13. Race/ Ethnicity 14. Address (including address history) 15. Phone 16. Investigating Agency 17. Record Bureau Number 18. Type of Filing (information, Bindover, Indictment) 19. Charges (Revised Code, Charge Description, Felony Degree, Offense Date Range Charge Applies to, ITN Number) 20. Date of Court Case Initiation 21. Case Type: Offense Class: (Dropdown: list of values). 22. Case Status: (Dropdown: Open, Closed, Warrant), default to Open 23. Date of Disposition, if applicable **Vendor Response (written narrative here):**				
AC 2.5-01	**Convert Grand Jury Indicted Case to Criminal Case** The Prosecution files indictments with the clerk who assigns them a Criminal case number, copies the warrant or summons for service on the defendant, and sends them for service by law enforcement. **Vendor Response (written narrative here):**				

2.6 Manage Criminal Cases (see Section 5 Prosecute Criminal Cases)

Business Capability Description

Common capabilities that Juvenile cases share with Criminal and Civil Division cases are described as follows:

5.1 Maintain Prosecution Case History

- 5.1.1 Prosecution Register of Actions (ROA)
- 5.1.2 Active/ Inactive Cases/ Charges of Defendant
- 5.1.3 Related/ Co-Defendant Cases
- 5.1.4 Prosecution Case Notes
- 5.1.5 Attach Documents to Case
- 5.1.6 Redact Sensitive Information

5.1.7 Identify Documents as Attorney Work Product
5.1.8 Case Tasks
5.1.9 Brief Bank – Case Topics and Word Searches
5.2 Maintain Party/ Participant Data
5.3 Manage Case Due Dates/ Set Ticklers
5.4 File Subsequent Pleadings, Motions, Proposed Orders
5.5 Schedule Events and Manage Resources (Other than Grand Jury)
5.5.1 Schedule Appointments
5.5.2 Manage Professional/ Specialist Resources
5.6 Prepare for Court Sessions
5.6.1 Issue Subpoenas
5.6.2 Track Service of Subpoenas
5.6.3 Cancel Subpoenas or Call Off Witnesses
5.6.4 Witness and Exhibit Lists
5.7 Manage Evidence
5.8 Manage Discovery Requests
5.8.1 Manage Discovery Requested by Opposing Counsel
5.8.2 Request Discovery from Opposing Counsel

2.7 Transfer Certified Case from Juvenile – See 3.4.3 Certify Juvenile Cases to Adult Court

3 Juvenile Case-Specific Case Initiation Capabilities

Business Capability Description
Led by a deputy chief, Assistant Prosecuting Attorneys working in the Juvenile Division represent the State of Ohio in the Lucas County Court of Common Pleas, Juvenile Division by prosecuting or adjudicating such matters as misdemeanor and felony crimes committed by juvenile offenders, traffic offenses committed by juvenile offenders, and abuse, neglect and dependency cases perpetrated by adults involving juvenile victims.

3.1 Enter/ Import Youth/ Adult Offense Information

Business Capability Description
Prosecutors in the Juvenile Division file official cases against juveniles in delinquency cases, and against adults in Dependency, Neglect, or Abuse cases. The offense of contributing to the delinquency of a minor may be charged against adults or juveniles. Interference with custody also involves adults.

Prosecution creates a Juvenile Prosecution case in a number of ways:

1. By entering a Court Case Number (if it exists), which imports court case data and case-related documents to the Prosecution case.
2. By enter data from a police complaint.
3. By referral from Juvenile Probation after reviewing an unofficial complaint, and determining that it should become an official juvenile case.

Business Rules
BR 3.1-01 Statutes Defining Delinquency, and Dependency, Neglect, or Abuse

R.C. 2152.02 defines Delinquency as juvenile cases filed concerning a delinquent child for specified offenses.
Dependency, Neglect, or Abuse cases are juvenile cases concerning the neglected child, as defined by R.C. 2151.03; the dependent child, as defined by R.C. 2151.04; or the abused child, as defined by R.C. 2151.031.

BR 3.1-01 Cases Assigned to Juvenile Division Prosecutors
PA Office policy specifies that Juvenile Division Prosecutors take cases designated as formal Prosecution. Prosecution Technicians takes cases involving short-term remediation, including conditions requiring public service, and writing of letters and essays.

Process Activities
1) Review Prior Record and Pending Matters
2) Receive Notification of Official/ Unofficial Determination

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.1-01	**Juvenile Case Information Display** Filter Court and/or Prosecution case information to see one or both. See **3.1 View Case Data and Events** **Vendor Response (written narrative here):**				
RD 3.1-02	**Juvenile Prosecution Case Display** Display the following information in a Juvenile Prosecution Case: Case Data (Case Number, Youth/ Adult Name, DOB, Sex, Race Charge Data a. Prosecutor Assigned (list of values) b. Prosecution Status (Dropdown: Open, Absconder, Closed) c. Prosecution Type radio buttons (Dropdown: Unofficial, Official, Certified Transfer) d. Complaining/ Referring Agency (list of values) e. Date of Arraignment **Vendor Response (written narrative here):**				
AC 3.1-01	**Create Juvenile Prosecution Case** Given a case, enable the user to verify the information found and create a new Prosecution case using the data, populated with Court case data or entered by keyboard. **Vendor Response (written narrative here):**				
AC 3.1-02	**Multi-Youth and Multi-Defendant Juvenile Cases** Use the same case number for cases with more than one alleged perpetrator, with letters –A, -B, -C etc. appended to the case number to identify the additional parties. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.1-03	**Attach Documents to Juvenile Prosecution Case** Attach case-related documents to the Prosecution case (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Prosecution cases. See also **16.5 Track Evidence and 16.2.3 Attach Documents Related to the Prosecution Case**. **Vendor Response (written narrative here):**				
AC 3.1-04	**Delete Documents from Juvenile Prosecution Case** Enable a user to delete documents from the Prosecution case. **Vendor Response (written narrative here):**				
DE 3.1-01	**Import Court Case Data to Populate Juvenile Prosecution Case** This data exchange imports charge and defendant data from the court case to populate the prosecution case: (all fields mandatory) • Court Case Number • Last Name, First Name, Middle Initial, Suffix • DOB • Charges • Address (including address history) • Date of Court Case Initiation • Case Type: Offense Class: (Dropdown: list of values). • Case Status: (Dropdown: Open, Closed, Warrant) • Date of Disposition, if applicable **Vendor Response (written narrative here):**				
DN 3.1-01	**Juvenile Prosecution Case Confidential Register of Actions** A log of case events of a Prosecution case, recording the date/ time of the events at different stages of the case (filterable by stage): assessment, intake, compliance, discharge. Drop-down choices of log entries include specified Dropdown box choices. **Vendor Response (written narrative here):**				

3.1.1 Assign Juvenile Case to Prosecutor

Business Capability Description

The Prosecuting Attorney Juvenile Division chief assigns a prosecutor to a juvenile case according to rules designed to equalize workload, and appropriate to skill levels and interests of prosecutors.

BR 3.1.1-01 Assign New Juvenile Case to Prosecutor

[Specify the rule or algorithm]

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.1.1-01	**Current Workload of Prosecutor** As of a certain date, the report shows the cases assigned to a prosecutor, by case type/ subtype. **Vendor Response (written narrative here):**				
RD 3.1.1-02	**Workload of Prosecutors by Division** As of a certain date, the report shows the cases assigned to prosecutors with case type/ subtype and date assigned, and summary totals by prosecutor, as contained in **DN 3.1.1-01 Case Assignment and Workload Equalization Table** **Vendor Response (written narrative here):**				
AC 3.1.1-02	**Automatically Assign Juvenile Cases to Juvenile Division Prosecutors** Automatically assign cases to prosecutors according to **BR 3.1.1-01 Assign New Juvenile Division Case**, affecting workload calculations of prosecutors for maintaining equality of judicial workload**.** **Vendor Response (written narrative here):**				
AC 3.1.1-03	**Transfer or Reassign Cases** Enable the user to manually assign or reassign cases to prosecutors, affecting workload calculations of prosecutors for maintaining equality of judicial workload. **Vendor Response (written narrative here):**				
AC 3.1.1-04	**Mass-Assign Cases from One Prosecutor to Another** Mass-assign a group of cases or all cases from one prosecutor to another prosecutor or among a group of prosecutors, according to workload calculations of prosecutors for maintaining equality of judicial workload. **Vendor Response (written narrative here):**				
DN 3.1.1-01	**Case Assignment and Workload Equalization Table** Business rules are configured into the case assignment table for assigning cases to prosecutors. The table records assignment of cases to prosecutors, populated when a case is assigned, either initially or as a case is reassigned manually. Table entries assigned to a different prosecutor or prosecutors. **Vendor Response (written narrative here):**				

3.2 File Juvenile Petition or Complaint (See 1.5 Generate Documents)

Business Capability Description

Juvenile Prosecution generates and files a juvenile complaint or petition in the case, and identifies pending matters for consolidation.

Business Rules

Process Activities

PA 3.2-01 Identify Pending Matters when File Petition or Complaint

1. Juvenile Prosecution searches the record for pending cases.
2. Juvenile Prosecution moves to consolidate existing case with newly filed petition or complaint. See **AC 1.1-04 Identify Linked Cases/ Matters.**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.2-01	**Generate and File Juvenile Petition/ Complaint** Generate petition by merging case management system data with word processing templates. **Vendor Response (written narrative here):**				
RD 3.2-01	**Identify Gun Case** Enable the user to turn on a gun case flag. See **DN 2.2-01 Gun Case Flag.** **Vendor Response (written narrative here):**				
DN 3.2-01	**Gun Case Flag** This flag is turned on when the Prosecution identifies a case as a gun case. See **AC 11.2-06 Case Status Flags and Related Notifications.** **Vendor Response (written narrative here):**				

3.3 Manage Juvenile Prosecution Cases

Business Capability Description

Common capabilities that Juvenile cases share with Criminal and Civil Division cases are described as follows:

- 5.1 Maintain Prosecution Case History
  - 5.1.1 Prosecution Register of Actions (ROA)
  - 5.1.2 Active/ Inactive Cases/ Charges of Defendant
  - 5.1.3 Related/ Co-Defendant Cases
  - 5.1.4 Prosecution Case Notes
  - 5.1.5 Attach Documents to Case
  - 5.1.6 Redact Sensitive Information
  - 5.1.7 Identify Documents as Attorney Work Product
  - 5.1.8 Case Tasks
  - 5.1.9 Brief Bank – Case Topics and Word Searches
- 5.2 Maintain Party/ Participant Data
- 5.3 Manage Case Due Dates/ Set Ticklers
- 5.4 File Subsequent Pleadings, Motions, Proposed Orders
- 5.5 Schedule Events and Manage Resources (Other than Grand Jury)
  - 5.5.1 Schedule Appointments
  - 5.5.2 Manage Professional/ Specialist Resources
- 5.6 Prepare for Court Sessions
  - 5.6.1 Issue Subpoenas
  - 5.6.2 Track Service of Subpoenas
  - 5.6.3 Cancel Subpoenas or Call Off Witnesses
  - 5.6.4 Witness and Exhibit Lists

5.7 Manage Evidence
5.8 Manage Discovery Requests
5.8.1 Manage Discovery Requested by Opposing Counsel
5.8.2 Request Discovery from Opposing Counsel

3.4 Changes in Juvenile Cases

3.4.1 Unofficial Cases to Official Case

Business Capability Description
Juvenile Prosecution may file a complaint or petition to initiate a previously unofficial case.
Business Rules

Process Activities
PA 3.3.1-01 File Official Juvenile Case
1. Juvenile Prosecution files a petition or complaint. See **AC 3.2-01 Generate and File Juvenile Petition/ Complaint.**
2. Juvenile Prosecution moves to consolidate existing case with newly filed petition or complaint. See **AC 1.1-04 Identify Linked Cases/ Matters.**

3.4.2 Official Cases to Unofficial Cases

Business Capability Description
Juvenile Prosecution may dismiss an official case fir juvenile probation to manage the case unofficially.
Business Rules

Process Activities
PA 3.3.2-01 File Official Juvenile Case
1. Juvenile Prosecution files a motion to dismiss an official case**.** See **AC 5.4-01 Generate and File Subsequent Pleadings, Motions, Proposed Orders.**

3.4.3 Certify Juvenile Cases to Adult Court

Business Capability Description
Juvenile Prosecution may file a complaint or petition to initiate a previously unofficial case.
Business Rules
BR 3.3.-01 Transfer of Juvenile to be Tried as an Adult
ORC 2152.12 Transfer of cases provides in (A)(1)(a) After a complaint has been filed alleging that a child is a delinquent child for committing an act that would be aggravated murder, murder, attempted aggravated murder, or attempted murder if committed by an adult, the juvenile court at a hearing shall transfer the case if certain conditions apply.
BR 3.3.3-02 Relinquishment of Juvenile Jurisdiction for Purposes of Criminal Prosecution
Ohio Rules of Juvenile Procedure Rule 30. Relinquishment of Jurisdiction for Purposes of Criminal Prosecution, specifies the rules for transfer of a juvenile to adult criminal court.
Process Activities
PA 3.3.3-01 File Motion to Transfer Juvenile to Adult Criminal Court
1. Juvenile Prosecution files a motion to transfer a juvenile court case to criminal court.

3.5 Enter Party/ Participant Data (also see 5.2 Maintain Party/ Participant Data

Business Capability Description

Juvenile prosecution staff enters information for parties and participants, including addresses, demographics, contact info, interpreter needed, organizational affiliation – and a history of information entries. Parties may be a person or an organization such as a business entity. Personal and real property may be named as a party in a case (e.g., "People of the State of Ohio vs. 1994 Lexus SC400)" in civil forfeiture cases.

Prosecution staff in all divisions need similar detailed business capabilities for entry and update of party/ participant data, and they are all set forth in **5.2 Maintain Party/ Participant Data**.

3.5.1 Manage Party/ Participant Relationships

Business Capability Description

Prosecution staff identify relationships between parties and between parties and case participants.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.5.1-01	**Party and Participant Relationship Display** For any person, display the related parties and participants with the type of relationship. **Vendor Response (written narrative here):**				
RD 3.5.1-01	**Party Relationship Report** For a given case, and for a date range, display the other parties and other cases in which they are parties. **Vendor Response (written narrative here):**				
RD 3.5.1-01	**Party-Participant Relationship Report** For a given case in which a person is a party or participant, and for a date range, display the other participants. **Vendor Response (written narrative here):**				
AC 2.1-01	**Participant Roles** Enable configuring any number of relationships (e.g. defendant/ victim, co-defendant(s), attorney/ client, mother/ child, caseworker/ client, court-appointed special advocates (CASA)), which may be assigned to participants in the case records. **Vendor Response (written narrative here):**				
AC 3.5.1-02	**Create Relationships** Create two-way relationships of any type between any parties and participants. **Vendor Response (written narrative here):**				
AC 3.5.1-03	**History of Party/ Participant Relationships** Maintains a history of parties'/ participants' relationships in each case. This creates links that can be followed for system actions, i.e., providing an attorney mailing address for a system-generated document for a particular party. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.5.1-04	**Family ID** Enable assigning an involved juvenile and siblings with the Family ID of the mother. **Vendor Response (written narrative here):**				
DN 3.5.1-01	**Family ID** This ID is assigned to the person record of a mother of an involved juvenile. **Vendor Response (written narrative here):**				

4 Civil Case-Specific Matter/ Case Initiation Capabilities

Business Capability Description

The Lucas County Prosecuting Attorney is legal counsel for county officials, county agencies, townships and various boards and commissions. The Civil Division represents the interests of its clients in state and federal courts, as well as a variety of administrative settings. This division also provides its clients with additional legal services in the areas of employment litigation, contract review and enforcement, recouping taxes, civil forfeitures, real property sale and/or purchase and zoning and land use issues.

The Civil Division includes assistant prosecuting attorneys working directly with the Treasurer, the Auditor, the County Board of Health, and the County Department of Job and Family Services. Its special units include a Senior Protection Unit, Child Support Unit, and Foreclosure Unit. These are termed “Civil Prosecution Cases” because they share some characteristics of cases filed in the court.

Business Rules

ORC 309.09 (A) The prosecuting attorney shall be the legal adviser of the board of county commissioners, board of elections, all other county officers and boards, and all tax-supported public libraries, and any of them may require written opinions or instructions from the prosecuting attorney in matters connected with their official duties. The prosecuting attorney shall prosecute and defend all suits and actions that any such officer, board, or tax-supported public library directs or to which it is a party, and no county officer may employ any other counsel or attorney at the expense of the county, except as provided in section 305.14 of the Revised Code.
(B) (1) The prosecuting attorney shall be the legal adviser for all township officers, boards, and commissions.

4.1 Search/ Enter Civil Client Information (see 1.2 Civil Case/ Matter Search)

Business Capability Description

Civil Division staff searches for existing matters/ cases involving a client or opposing party. If it is a new matter (not a court case), Civil Division staff enters data to create a Civil Prosecution matter. If the Civil Division's client is a party in a civil case filed in the court, Civil Division staff imports data and documents to create a Prosecution case.

Business Rules

Process Activities

1. See **AC 1.2-01 Search Civil Matters/ Cases Using Person, Organization and Case-Related Fields**
2. Select existing Civil Matter/ Case, Person or Organization, or enter information for new matter/ case, person or organization.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.1-01	**Enter New Civil Matter/ Case, Person and Organization** See **RD 1.2-01 Civil Matter/ Case, Person and Organization Search Results Display** (including Matter Type Indicator). **Vendor Response (written narrative here):**				

4.1.1 Assign Civil Matter/ Case to Prosecutor

Business Capability Description

The Prosecuting Attorney Civil Division chief assigns a prosecutor to a civil matter/ case according to rules designed to equalize workload, and appropriate to skill levels and interests of prosecutors.

BR 4.1.1-01 Assign New Civil Case to Prosecutor

[Specify the rule or algorithm]

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.1.1-01	**Current Workload of Prosecutor** As of a certain date, the report shows the cases assigned to a prosecutor, by case type/ subtype. **Vendor Response (written narrative here):**				
RD 4.1.1-02	**Workload of Prosecutors by Division** As of a certain date, the report shows the cases assigned to prosecutors with case type/ subtype and date assigned, and summary totals by prosecutor, as contained in **DN 4.1.1-01 Case Assignment and Workload Equalization Table** **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.1.1-03	**Transfer or Reassign Cases** Enable the user to manually assign or reassign cases to prosecutors, affecting workload calculations of prosecutors for maintaining equality of judicial workload. **Vendor Response (written narrative here):**				
AC 4.1.1-04	**Mass-Assign Cases from One Prosecutor to Another** Mass-assign a group of cases or all cases from one prosecutor to another prosecutor or among a group of prosecutors, according to workload calculations of prosecutors for maintaining equality of judicial workload. **Vendor Response (written narrative here):**				
DN 4.1.1-01	**Case Assignment and Workload Equalization Table** Business rules are configured into the case assignment table for assigning cases to prosecutors. The table records assignment of cases to prosecutors, populated when a case is assigned, either initially or as a case is reassigned manually. Table entries assigned to a different prosecutor or prosecutors. **Vendor Response (written narrative here):**				

4.2 Manage Civil Prosecution Cases

Business Capability Description

Prosecution in the Civil Division manages matters not filed in the court, such as advisory opinions, contract review, arbitration and mediation matters. Civil Division prosecutors also represent county officials, county agencies, townships and various boards and commissions in civil cases filed in the court.

Common capabilities that Civil matters/ cases share with Criminal and Juvenile Division cases are described as follows:

- 5.1 Maintain Prosecution Case History
  - 5.1.1 Prosecution Register of Actions (ROA)
  - 5.1.2 Active/ Inactive Cases/ Charges of Defendant
  - 5.1.3 Related/ Co-Defendant Cases
  - 5.1.4 Prosecution Case Notes
  - 5.1.5 Attach Documents to Case
  - 5.1.6 Redact Sensitive Information
  - 5.1.7 Identify Documents as Attorney Work Product
  - 5.1.8 Case Tasks
  - 5.1.9 Brief Bank – Case Topics and Word Searches
- 5.2 Maintain Party/ Participant Data
- 5.3 Manage Case Due Dates/ Set Ticklers
- 5.4 File Subsequent Pleadings, Motions, Proposed Orders
- 5.5 Schedule Events and Manage Resources (Other than Grand Jury)
  - 5.5.1 Schedule Appointments
  - 5.5.2 Manage Professional/ Specialist Resources

5.6 Prepare for Court Sessions
- 5.6.1 Issue Subpoenas
- 5.6.2 Track Service of Subpoenas
- 5.6.3 Cancel Subpoenas or Call Off Witnesses
- 5.6.4 Witness and Exhibit Lists

5.7 Manage Evidence

5.8 Manage Discovery Requests
- 5.8.1 Manage Discovery Requested by Opposing Counsel
- 5.8.2 Request Discovery from Opposing Counsel

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.2-01	**Civil Case Information Display** Filter Court and/or Prosecution case information to see one or both. See **RD 1.2-01 Civil Matter/ Case, Person and Organization Search Results Display.** **Vendor Response (written narrative here):**				
AC 4.2-01	**Generate Civil Case Documents** Generate documents by merging case management system data with word processing templates. (See **1.6 Generate Documents**) **Vendor Response (written narrative here):**				
AC 4.2-02	**Generate and File Civil Petition and Other Pleadings** Generate petition by merging case management system data with word processing templates. **Vendor Response (written narrative here):**				
AC 4.2-03	**Multi-Party Civil Cases** Use the same case number for cases with more than one party, with letters –A, -B, -C etc. appended to the case number to identify the additional parties. **Vendor Response (written narrative here):**				
AC 4.2-04	**Attach Documents to Civil Prosecution Case** Attach case-related documents to the Prosecution case (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Prosecution cases. See also **16.5 Track Evidence and 16.2.3 Attach Documents Related to the Prosecution Case**. **Vendor Response (written narrative here):**				
AC 4.2-05	**Delete Documents from Civil Prosecution Case** Enable a user to delete documents from the Prosecution case. **Vendor Response (written narrative here):**				
DE 4.2-01	**Import Court Case Data to Populate Civil Prosecution Case** This data exchange imports charge and defendant data from the court case to populate the prosecution case: (all fields mandatory) • Court Case Number • Last Name, First Name, Middle Initial, Suffix • DOB				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	• Charges • Address (including address history) • Date of Court Case Initiation • Case Type: Offense Class: (Dropdown: list of values). • Case Status: (Dropdown: Open, Closed, Warrant) • Date of Disposition, if applicable **Vendor Response (written narrative here):**				
DN 4.2-01	**Civil Prosecution Case Confidential Register of Actions** A log of case events of a Prosecution case, recording the date/ time of the events at different stages of the case (filterable by stage): Pleading, Discovery, Negotiation, Awaiting Approval. Drop-down choices of log entries include specified Dropdown box choices. **Vendor Response (written narrative here):**				

4.3 Initiate Matter for Review of Contracts

Business Capability Description
Civil Division prosecutors initiate matters to review contracts for form and negotiate changes. Business capabilities related to representing clients are in section **5 Prosecute Criminal & Juvenile Cases and Represent Client in Civil Matters/ Cases**.
Process Activities
1. In a matter/ case, record receipt of documents from client and opposing party(ies) by entering the receipt event in the Prosecution case ROA.
2. In a matter/ case, record receipt of documents from client and opposing party(ies) by attaching the document to the matter/ case.
3. In a matter/ case, prepare recommendations as to form and content.

4.4 Determine Need to Segregate Work Product

Business Capability Description
In order to avoid an apparent or real conflict of interest, Prosecution segregates work product data and documents in a case by making it inaccessible to others in the office who may have adverse interests, or potential adverse interests.
Business Rules
[Cite ethical rules]
Process Activities

4.4.1 Set Up Confidential Access Case-by-Case

Business Capability Description

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

RD 4.4.1-01	**Segregated Work Product Display**
	For a date range, list the matters/ cases which have segregated, with the following elements:
	• Case/ Matter Identifier
	• Case/ Matter Caption/ Title
	• Case/ Matter Type Indicator (Dropdown: contract review, advisory opinion, asset tax foreclosure, forfeiture, arbitration, senior protection)
	• Case/ Matter Forum (Dropdown: Arbitration Panel, Court of Appeals, Federal Court, None)
	• Case/ Matter Status (Dropdown: Closed, Open, Post-Disposition)
	• Client Name (Last Name, First Name, Middle Name, Suffix)
	• Client Organization Name
	• Client Organization Type (Dropdown: agency, board, corporation, partnership, DBA (individuals "doing business as" an unincorporated company)
	• Client Contact Person (Last Name, First Name, Middle Name, Suffix)
	• Client Contact Person Role (Dropdown values:)
	  ○ For government entity, elected official, board member, employee
	  ○ For corporation, registered agent, officer, employee
	  ○ For partnerships, partner, employee; For DBA, owner, employee
	  ○ For civil cases: party, victim, witness, attorney, social worker
	• Assigned APA
	• Opposing Counsel Name (Last Name, First Name, Middle Name, Suffix)
	Vendor Response (written narrative here):				

AC 4.4.1-01	**Identify Users with Access to Segregated Work Product** For a matter/ case, enable a user to enter User IDs of persons with access rights to the matter/ case, and to disable such rights. **Vendor Response (written narrative here):**				

4.5 Manage Public Record Requests

Business Capability Description

The Prosecution Civil Division receives requests for public records by phone, in person, or in an email or letter, and responds to them within a "reasonable" period of time.

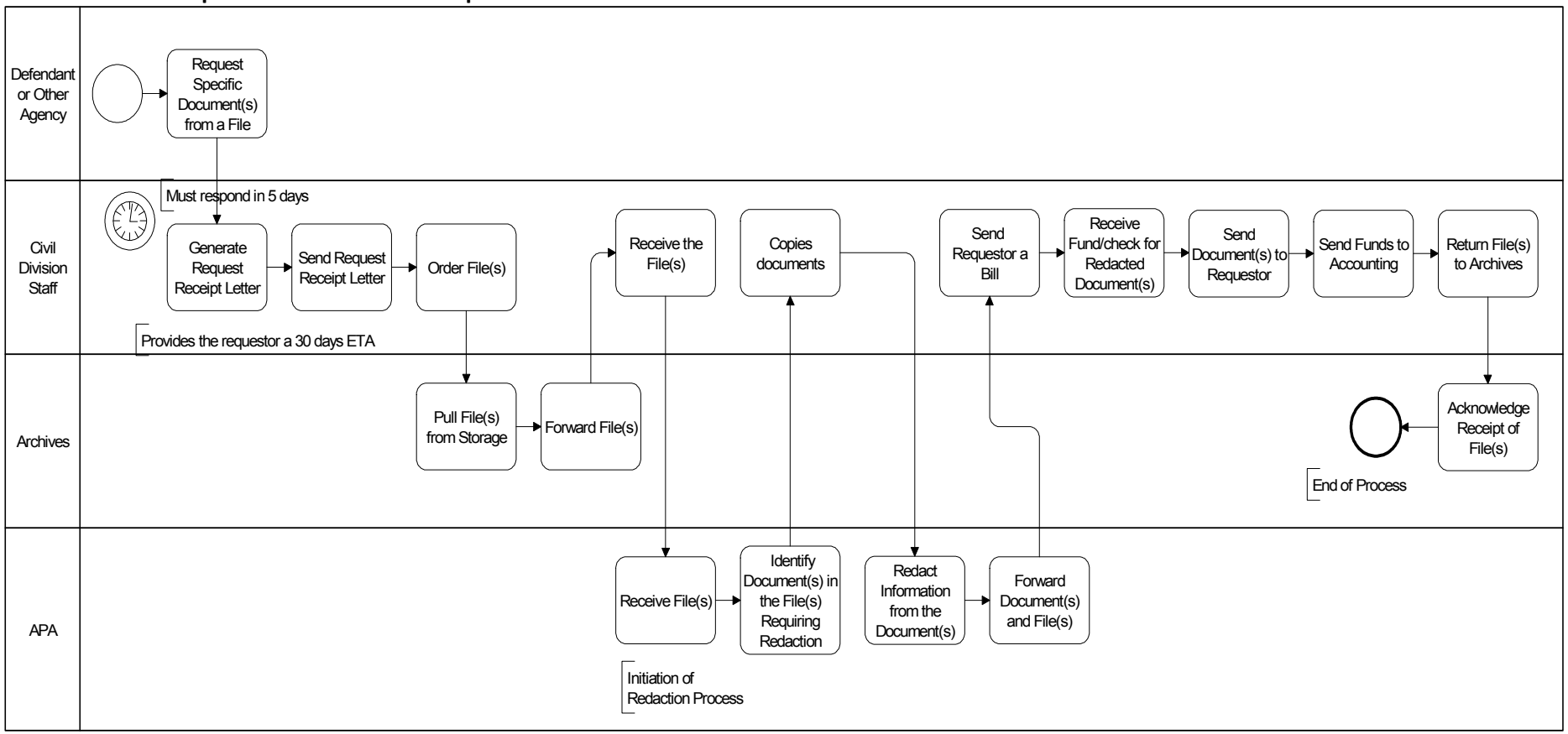
Business Rules

BR 4.5-01

ORC 149.43 [Effective Until 3/20/2015] Availability of public records for inspection and copying.

Process Activities

PA 4.5-01 Respond to Public Record Request with Redacted Document



Assume that interactions with the CMS automatically log an event

PA 4.5-02 Deny Record Request

1. Respond to records request stating the reasons for denying the request.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.5-01	**Public Record Request Display** For a date range, display the public records requests received with the following information: • Records Request Reference Number • Date of Request • Date of Initial Response • Type of Response (Dropdown: Acknowledged, Denied, Under Review) • Requester Choice for Receipt (Dropdown: Pick-up, Delivery, Transmission) • Name of Requester • Requester Address • Requester Phone • Requester Email Address • Type of Records Requested • Cost • Date Notified Requester of Records Availability • Date of Actual Deliver **Vendor Response (written narrative here):**				
AC 4.5-02	**Respond to Request for Public Records** Enable the user to perform the activities in **PA 4.5-01 Respond to Public Record Request with Redacted Document.** **Vendor Response (written narrative here):**				

4.5.1 Track Deadline to Respond to Public Records Requests

Business Capability Description

The Prosecution Civil Division tracks the deadline to respond to public records requests, and can provide information about compliance with the statute.

Business Rules

Process Activities

PA 4.5.1-01 Track Deadline to Respond to Public Records Requests

1. Add tickler to the records request – see **AC 11.2-03 Case Status Tickler Manual or Automatic Update.**
2. Set tickler escalation parameter for 30 days – see **DN 11.2-05 Tickler Escalation Parameter**.

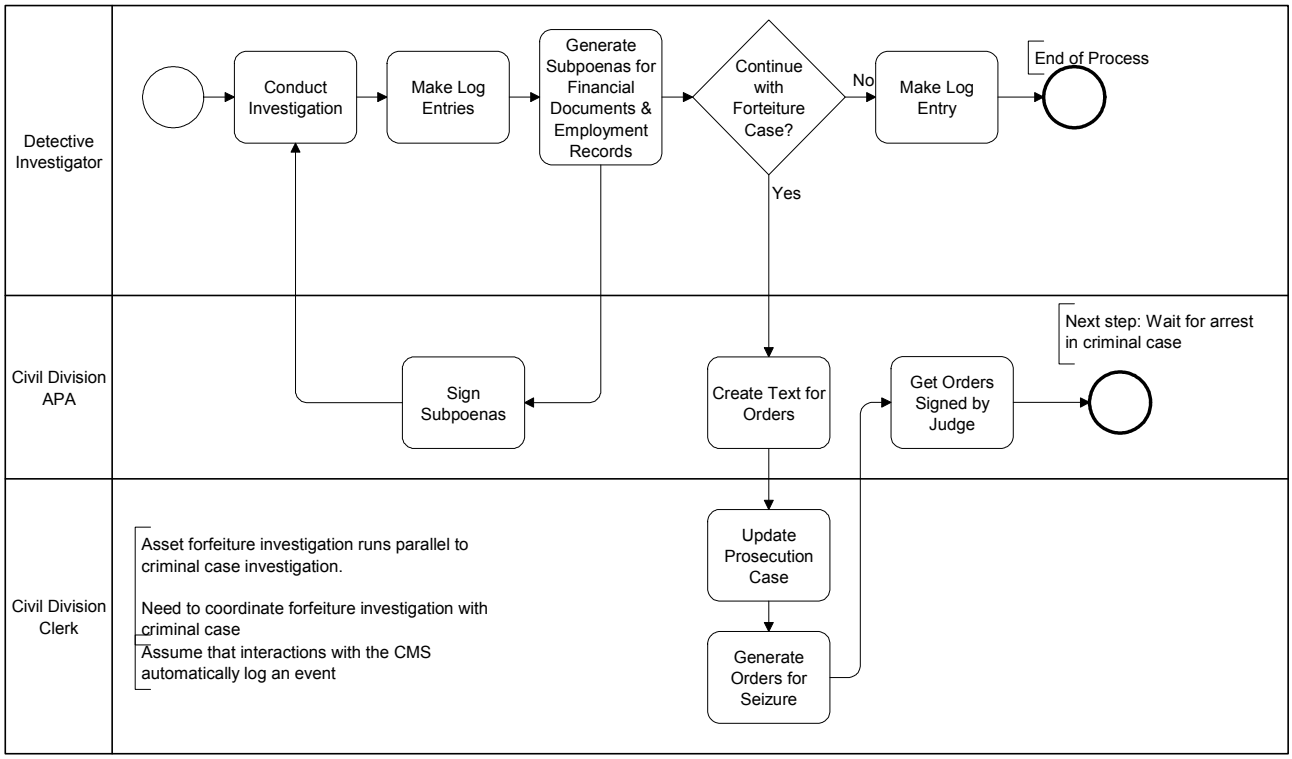
4.5.2 Redact Sensitive Information (see 5.1.6 Redact Sensitive Information

4.6 Conduct Asset Forfeitures

Business Capability Description
In forfeiture proceedings, the government must prove the property is related to a crime and thus subject to forfeiture by clear and convincing evidence. A property owner who wishes to argue his innocence has the burden of doing so.
Business Rules
BR 4.7-01 Ohio Asset Forfeiture Law
ORC 2981 specifies the purposes and rules for conducting forfeitures.

4.6.1 Asset Forfeiture Investigation

Business Capability Description
Law enforcement and the Prosecution investigate whether property is subject to asset forfeiture.
Process Activities
PA 4.7.1-01 Conduct Asset Forfeiture Investigation



4.7 Close Civil Division Case/ Matter

Business Capability Description
When a Case/ Matter is completed, the Civil Division marks it as "Closed."

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.7-01	**Close Case/ Matter** Enable a user to change the status to "Closed." See Case/ Matter Status (Dropdown: Closed, Open, Post-Disposition) **Vendor Response (written narrative here):**				

5 Prosecute Criminal & Juvenile Cases and Represent Client in Civil Matters/ Cases

5.1 Maintain Prosecution Case History

5.1.1 Prosecution Register of Actions (Prosecution ROA)

Business Capability Description
The Prosecution views the history of a Court case, AKA Court Register of Actions (ROA), i.e., events which occur in the case (minutes of court proceedings), filed documents, and financial events in the case. In addition, the Prosecution views the Prosecution ROA, containing Prosecution-specific information and events, which no one outside of the Prosecution office is able to see.
Business Rules
BR 5.1.1-01 Manage Prosecution Register of Actions (ROA)
Ethical rules require that only employees of the Prosecuting Attorney can access and update information in the Prosecution ROA.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.1-01	**Court Events in Prosecution Register of Actions (ROA)** Display all elements of the Court ROA for a case in the Prosecution ROA, showing all events, documents filed by parties and participants, orders, and other activities, with drill-down clicking to documents, minute entries, etc. **Vendor Response (written narrative here):**				
AC 5.1.1-01	**Prosecution Case Events** Ability to record one or more Case Events in the Prosecution ROA where an Event is something that happens or take place, using a coded entry: • Appealed by Defendant/ Respondent • Appealed by Prosecution • Diversion Status Granted • Diversion Successful Completion • Victim Identified in Case • Victim Restitution Submitted to Court **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.1.1-02	**Filter ROA Entries** Provide view/filter of entries in the Register of Actions of a case by date, type (Dropdown: Events, Documents, Financial Entries). **Vendor Response (written narrative here):**				
AC 5.1.1-03	**Flexible Viewing Screens** Provide screens configurable to a user role to display information about a case, (i.e., a user may want to have all information on an individual or case on one screen, with customized blocks or tabs of information, some visible at all times and others available by selecting a tab to show the data) **Vendor Response (written narrative here):**				
AC 5.1.1-04	**Defendant Local Criminal History** Provide screens to view all court cases in which a person is a defendant, and cases in which a person has other involvements **Vendor Response (written narrative here):**				
AC 5.1.1-05	**Search the ROA** Search the Court and the Prosecution Register of Actions for a particular document, documents filed on a particular date, and other elements. **Vendor Response (written narrative here):**				
AC 5.1.1-06	**Text Search Minute Entries** Perform a text search on minute entries (within a case or across cases). **Vendor Response (written narrative here):**				
AC 5.1.1-07	**Track Appeals** Track events on cases that are appealed: Higher Court Case Number, Date Sent (Appeal Packet), Decision, and Decision Date. **Vendor Response (written narrative here):**				
AC 5.1.1-08	**Include Case Age in Displays** Include case age with any display of case status or adherence to legal deadlines (Dropdown: tracking conformance to time standards). **Vendor Response (written narrative here):**				

5.1.2 Active/ Inactive Cases/ Charges of Defendant

Business Capability Description

The Prosecution tracks which charges are inactive on a case, and which cases are not being actively pursued.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.2-01	**Active Cases and Charges Display** For a defendant, display the cases and charges which are marked "Inactive," the date of inactivation, and a Reason Code (Dropdown: list of values) **Vendor Response (written narrative here):**				
AC 5.1.2-01	**Mark Cases and Charges as Inactive** Enable the user to mark cases and charges as "Inactive." **Vendor Response (written narrative here):**				
DN 5.1.2-01	**Inactive Case or Charge Flag** This flag is turned on by the Prosecution to indicate that a case or charge is not being actively prosecuted. **Vendor Response (written narrative here):**				

5.1.3 Related/ Co-Defendant Cases

Business Capability Description
The Prosecution tracks if there are Related, Associated, Consolidated cases. See Business Rules in **1.1 Criminal and Juvenile Person/ Case Search**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.3-01	**Related Cases Display** For a case, show for each of the related cases including the following fields: a. Relationship (Dropdown: Related, Associated, Consolidated) b. Case Number c. Defendant Name d. Case Status e. Title (Charge) f. Amended Title g. Plea h. Finding **Vendor Response (written narrative here):**				

5.1.4 Prosecution Case Notes

Business Capability Description
The Prosecution enters case notes not visible to anyone outside the office. This is a specialized function related to the more general use case **3.6 Annotate Case/ Documents**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.4-01	**Prosecution Case Note Display** Each case note in chronological order (or filtered to reverse order) contains the Contact Type (Dropdown: Witness Interview, Victim Interview, Deposition, Hearing, No-show, Email, Phone call), Date/Time Entered, Entered-by Name, Date Modified (if any), and Modified-By Person (if any). **Vendor Response (written narrative here):**				
AC 5.1.4-01	**Enter Prosecution Case Note** Enable creating case notes, the date and time created, in a text box or by selecting a Contact Type (Dropdown: Witness Interview, Victim Interview, Deposition, Hearing, No-show, Email, Phone call), and deleting, printing, and forwarding them. **Vendor Response (written narrative here):**				
AC 5.1.4-02	**Case Notes in Multiple Cases** Ability for an author to create one or more Case File notes for a Case Event where the Case File note can be part of more than one case; e.g. linked cases. **Vendor Response (written narrative here):**				
AC 5.1.4-03	**Editing Case Notes** Ability for the author of a submitted Case File note to edit it, which creates a new version of the case File note. **Vendor Response (written narrative here):**				
AC 5.1.4-04	**Filter and Reorder Case Notes** Ability to view all Case File notes in reverse chronological order and filter on topic, author, date etc. **Vendor Response (written narrative here):**				

5.1.5 Attach Documents to Case

Business Capability Description
Prosecution attaches documents to the Prosecution case that it generates and gathers in the course of performing Prosecution functions.
Business Rules
Prosecution documents attached are listed in the Prosecution ROA.
Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.1.5-01	**Attach Documents to Prosecution Case** Attach case-related documents to the Prosecution case (Dropdown: electronic and scanned documents, audio/ video files), viewable only with permission to access Prosecution cases, with an entry on the Prosecution ROA. See **DN 17.3.2-6 Saved Prosecution Documents History Table**.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 5.1.5-02	**Delete Attached Documents from Prosecution Case** When a document has been attached to the case, the Delete button becomes active. If a document is deleted, automatically generate a Prosecution ROA entry, indicating the user, what document was deleted, and the date and time of deletion. See **DN 17.3.2-6 Saved Prosecution Documents History Table**. **Vendor Response (written narrative here):**				
AC 5.1.5-03	**Attach Document to Relevant Prosecution ROA Entry** Enable attaching a filed document to a Prosecution Register of Actions Entry related to the document. Also see **1.1.2 Enter/ Import Case Initiation Data and Documents** and **17.1.3 Enter/ Import Prosecution Case Initiation Data and Documents**. **Vendor Response (written narrative here):**				
AC 5.1.5-04	**Drag & Drop Attachment to ROA Entry** Enable a user to drag & drop received documents/attachments directly to ROA entry. **Vendor Response (written narrative here):**				
DN 5.1.5-01	**Saved Prosecution Documents History Table** For a case this table displays the Document Name, Created By (Dropdown: User, Work Station) and Created Date of any documents that have been scanned into the case or attached to the case. **Vendor Response (written narrative here):**				

5.1.6 Redact Sensitive Information

Business Capability Description

Prosecution on occasion needs to redact sensitive information from a document before disclosing it.

Business Rules

[Cite rule requiring redaction of sensitive information]

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.1.6-01	**Automated Recognition of Information to be Redacted** Enable a user to submit a document to be automatically redacted for such kinds of information as SSN, DOB, and identify information that is candidate for redaction, for manual review. **Vendor Response (written narrative here):**				

5.1.7 Identify Documents as Attorney Work Product

Business Capability Description
Attorneys identify documents as attorney work product which authorizes non-disclosure of the documents to opposing counsel because attorney-client confidentiality rules.

Business Rules
BR 5.1.7-01 Work Product Doctrine
Ohio Legal Ethics Rule 1.6 confers confidentiality of client-lawyer information to work product created by the attorney in the course of representing the client.

BR 5.1.7-02 Ohio Rules of Criminal Procedure, Rule 16, Discovery and Inspection, (J) Information Not Subject to Disclosure
The following items are not subject to disclosure under this rule:

(1) Materials subject to the work product protection. Work product includes, but is not limited to, reports, memoranda, or other internal documents made by the prosecuting attorney or defense counsel, or their agents in connection with the investigation or prosecution or defense of the case;
(2) Transcripts of grand jury testimony, other than transcripts of the testimony of a defendant or co-defendant. Such transcripts are governed by Crim. R. 6;
(3) Materials that by law are subject to privilege, or confidentiality, or are otherwise prohibited from disclosure

BR 5.1.7-03 Ohio Rules of Criminal Procedure, Rule 16, Discovery and Inspection, (C) Prosecuting Attorney's Designation of "Counsel Only" Materials.
The prosecuting attorney may designate any material subject to disclosure under this rule as "counsel only" by stamping a prominent notice on each page or thing so designated. "Counsel only" material also includes materials ordered disclosed under division (F) of this rule. Except as otherwise provided, "counsel only" material may not be shown to the defendant or any other person, but may be disclosed only to defense counsel, or the agents or employees of defense counsel, and may not otherwise be reproduced, copied or disseminated in any way. Defense counsel may orally communicate the content of the "counsel only" material to the defendant.
Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.1.7-01	**Identify Attorney Work Product** Enable the user to identify a document in the case/ matter with a flag (default value of "Yes") as confidential work product, and to reverse the flag setting to indicate that a document is discoverable. **Vendor Response (written narrative here):**				
AC 5.1.7-02	**Identify "Counsel Only" Materials** Enable the user to identify a document in the case/ matter as "Counsel Only" with a watermark, as permitted by **BR 5.1.7-03 Ohio Rules of Criminal Procedure, Rule 16, Discovery and Inspection, (C) Prosecuting Attorney's Designation of "Counsel Only" Materials**, and turn on the Counsel Only Flag associated with the evidence.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
DN 5.1.7-01	**Confidential Work Product Flag** This flag with a default value of "Yes" when a document is added to a file, identifies it as confidential work product. **Vendor Response (written narrative here):**				
DN 5.1.7-02	**Counsel Only Evidence Flag** This flag with a default value of "Yes" when a document is added to a file, identifies it as "Counsel Only" evidence. **Vendor Response (written narrative here):**				

5.1.8 Case Tasks

Business Capability Description

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.8-01	**Case Task Display** For all cases assigned to a Supervision staff member, for a date range, display all Case Tasks, Task Description, Date Requested, Date Completed, Comments. **Vendor Response (written narrative here):**				
AC 5.1.8-01	**Create a Case Task** Ability to create one or more Case Tasks. **Vendor Response (written narrative here):**				
AC 5.1.8-02	**Assign Case Task** Ability to assign a Case Task to self or another user known as, e.g. the Case Task "Doer" **Vendor Response (written narrative here):**				
AC 5.1.8-03	**Due Date of Task** Ability to set a due date for a Case Task causing the Doer to be reminded of the Task at the appropriate time and the Case Task Author to be notified if the Case Task is overdue. **Vendor Response (written narrative here):**				
AC 5.1.8-04	**Change Due Date of Case Task** Ability for the Case Task Author to change the due date of the Case Task. **Vendor Response (written narrative here):**				
AC 5.1.8-05	**"Doer" Change Due Date of Case Task** Ability for the Case Task Doer to change the due date for the Case Task and notify the Case Task Author (if different) of the change. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

5.1.9 Brief Bank – Case Topics and Word Searches

Business Capability Description
Attorneys who prepare briefs identify the subject matter using metadata tags to enable other attorneys to access the brief later by searching on Case Topic parameters identified by the attorney who wrote the brief. Briefs are also word-searchable.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.9-01	**Case Topic Display** By Case Topic list, Topic, Reference Case Number, Title and Description, Attorney Name, Date. **Vendor Response (written narrative here):**				
AC 5.1.9-01	**Add a Case Topic** Enable a user to add one or more Case Topics where a Topic is a category of information described by a Topic (Dropdown: Prosecutor to provide values), Reference Case Number, Title, Description, Attorney Name, Date. **Vendor Response (written narrative here):**				
AC 5.1.9-02	**Global List of Case Topics Setup** Enable Case Topics to be based on a global list of Topics based on the type of Case. **Vendor Response (written narrative here):**				
AC 5.1.9-03	**Relate Case Topics Setup** Enable a user to relate two Case Topics with each other where the relationship can be a parent child relationship. **Vendor Response (written narrative here):**				
AC 5.1.9-04	**Topics and Child Topics Setup** Enable a user to select a Topic and then list one or more child Topics and when the final level of child Topics has no child Topics then the ability to select one or more Topics. **Vendor Response (written narrative here):**				
AC 5.1.9-05	**Index Brief Using Case Topics** Enable a user to save a brief using one or more Case Topics for reference. **Vendor Response (written narrative here):**				
AC 5.1.9-06	**Search Briefs by Case Topic and Word Search** Enable users to search brief by Case Topic and word searches. **Vendor Response (written narrative here):**				

5.2 Maintain Party/ Participant Data

Business Capability Description

Enable entry and updating of information for parties and participants, including addresses, demographics, contact info, interpreter needed, organizational affiliation – and a history of information entries. Parties may be a person or an organization such as a business entity. Personal and real property may be named as a party in a case (e.g., "People of the State of Ohio vs. 1994 Lexus SC400)" in civil forfeiture cases.

Business Rules

BR 5.2-01 Criteria to Merge/ Un-Merge Names

Office policy may provide the criteria for merging person records.

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2-01	**Person Data Display** 1. For a person, show the following data fields, with the most current entry at the top of each list: a. Name (Last Name, First Name, Middle Name, Suffix) b. Address (Type Dropdown: Mail, Residence, Legal), Date Entered) c. E-mail Address (Type Dropdown: Home, Cell, Work 1, Work 2, Other), Date Entered, Primary checkbox d. Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), Date Entered, and Primary checkbox e. Confidential Address Flag 2. Display current Address first, then addresses in address history. 3. Display all individuals with the same Address, Email Address or Phone Number. 4. Display all Case Numbers with the Party ID attached. **Vendor Response (written narrative here):**				
RD 5.2-02	**Organization Data Display** 1. For an organization, show the following data fields, with the most current entry at the top of each list: a. Organization Name b. Organization Type (Dropdown: corporation, partnership, DBA (individuals "doing Organization as" an unincorporated company) c. Contact Person (Last Name, First Name, Middle Name, Suffix) d. Contact Person e. Role (Dropdown: For corporation, registered agent, officer, employee; For partnerships, partner, employee; For DBA, owner, employee) f. Address (Type Dropdown: Mail, Legal), Date Entered) g. Email Address (Dropdown: Home, Cell, Work 1, Work 2, Other), Date Entered, Primary checkbox h. Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), Date Entered, and Primary checkbox i. Comment (optional reference number to print on the check) 2. Display current Address first, then addresses in address history.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	3. Display all individuals with the same Address, Email Address or Phone Number. 4. Display all Case Numbers with the Party ID attached. **Vendor Response (written narrative here):**				
RD 5.2-03	**Configuration of a Detailed Party/ Participant Screen** Enable configuration of a detailed party/ participant screen for displaying a person's multiple occurrences of personal information with date/ time stamp: a. Case roles and case numbers b. Amounts owed: Running total of criminal fines, court cost, and community service. This applies for the running total of all civil monies owed. c. Arrest warrants d. Bail posted and case numbers e. Probation status and supervising officer f. Custody status, location, and place of residence g. Person-based alerts h. Aliases i. Addresses j. Cell/ landline numbers k. Personal identifiers l. E-mail address(es) **Vendor Response (written narrative here):**				
RD 5.2-04	**Party/ Participant Address History Report** For a date range, display a list of the addresses and associated dates of a party/ participant. **Vendor Response (written narrative here):**				
AC 5.2-01	**Update Person and Organization Information** For a person or organization, enable the user to update any information and add data to history of the record (e.g., alias, address, phone, email), with date/ time of update and user ID. **Vendor Response (written narrative here):**				
AC 5.2-02	**Merge and Un-Merge Person Records** Enable identification and merger of multiple person records for the same individual, and to un-merge them if an error is discovered – see **BR 5.2-1 Criteria to Merge/ Un-Merge Names.** **Vendor Response (written narrative here):**				
AC 5.2-03	**Participant Roles** Enable configuring any number of participant roles (e.g. attorney, case worker, guardian ad item, child representative, interpreter) and relationships (e.g. attorney/client, mother/child, caseworker/client, court-appointed special advocates (CASA)), which may be assigned to participants in the case records. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2-04	**Attorney/ Firm Self-Service Information Update** Enable private attorneys to notify the Clerk when an attorney's name, address or firm affiliation has changed, and when a firm's name, address, or contact information has changed. **Vendor Response (written narrative here):**				
AC 5.2-05	**History of Party/ Participant Relationships** Maintains a history of parties/ participants, their roles, and their relationships in each case. This creates links that can be followed for system actions, i.e., providing an attorney mailing address for a system-generated document for a particular party. **Vendor Response (written narrative here):**				
AC 5.2-06	**Flag Invalid and Confidential Addresses** Flag an address for such persons as juveniles and victims with a status of confidential (e.g., permanent, designated date to expire), or address no longer valid. **Vendor Response (written narrative here):**				
AC 5.2-08	**Mass Attorney Reassignment** Perform mass reassignment of attorney caseload by updating the attorney of record or by assigning cases to an office (e.g., public defender) on a single screen or in a single transaction. **Vendor Response (written narrative here):**				
AC 5.2-09	**Block Mail to Ineligible Attorney** If an attorney is suspended or disbarred, option to block sending of notices, and send them to parties or substitute counsel instead. **Vendor Response (written narrative here):**				
AC 5.2-10	**Mail to Multiple Addresses of Party** Ability to send a notice for a single party to multiple addresses. **Vendor Response (written narrative here):**				
AC 5.2-11	**Language Interpretation Needs** Manually enter data that a party needs an interpreter, and the language involved, by turning on **DN 5.2-8 Interpreter Needed Flag** and automatically turn on an alert – see **RP 1.3.2-1 (j) Person-Level Status Alert Examples - Interpreter Needed**. Same as Application Capability under **6.9 Provide Language Interpretation**. **Vendor Response (written narrative here):**				
AC 5.2-12	**Index External Agency Numbers** Record all numbers used by external organizations (e.g., jail, prosecutor, law enforcement) so that cases can be retrieved with those numbers. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2-13	**Handle Invalid Addresses** System must block mailings to invalid addresses, but allow overrides. **Vendor Response (written narrative here):**				
AC 5.2-14	**Organizations as Parties in a Case** Enter the name of an organization as a party, e.g., corporations, partnerships, DBAs (individuals "doing business as" an unincorporated company), and units of government. **Vendor Response (written narrative here):**				
AC 5.2-15	**Party Search of Persons Affiliated with an Organization-Party** Associate one or more persons with an organization, enabling a party search to return the names of persons involved in the case, including the following: For corporation, registered agent, officers and employees For partnerships, partners and employees For DBAs, owners and employees For units of government, officials and employees **Vendor Response (written narrative here):**				
AC 5.2-16	**Identify Real and Personal Property as Case Party** Enter an item of real or personal property as a party. In drug cases where the law allows the county to seize property used or involved in the crime, the county can file a civil forfeiture case with the case name, for example, "People of the State of Illinois vs. 1994 Lexus SC400." Property that may be forfeited includes cars, houses, and airplanes. **Vendor Response (written narrative here):**				
AC 5.2-17	**Update Person/ Case Status Alerts** Enable a user to manually update a case/ person status (see **RD 11.2-04 Person/Case Status Alerts (Flashers)**) with the following security-related alert values: • Hostile • Violent tendencies • Gang-affiliated • Gun-related • Gross sexual imposition (GSI) • Pickup order **Vendor Response (written narrative here):**				
AC 5.2-18	**Configure Detailed Party/ Participant Screen** Enable configuration of a detailed party/ participant screen for displaying a person's multiple occurrences of personal information with date/ time stamp: • Case roles and case numbers • Amounts owed: Running total of criminal fines, court cost, and community service. This applies for the running total of all civil monies owed. • Arrest warrants • Bail posted and case numbers				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	• Probation status and supervising office • Custody status, location, and place of residence • Person-based alerts • Aliases • Addresses • Cell/ landline numbers • Personal identifiers • E-mail address(es) **Vendor Response (written narrative here):**				
AC 5.2-19	**Merge and Un-Merge Person Records** Enable identification and merger of multiple person records for the same individual, and to un-merge them if an error is discovered – see **BR 5.3-1 Criteria to Merge/ Un-Merge Names.** **Vendor Response (written narrative here):**				
AC 5.2-20	**Participant Roles** Enable configuring any number of participant roles (e.g. attorney, case worker, guardian ad item, child representative, interpreter) and relationships (e.g. attorney/client, mother/child, caseworker/client, court-appointed special advocates (CASA)), which may be assigned to participants in the case records. **Vendor Response (written narrative here):**				
AC 5.2-21	**History of Party/ Participant Relationships** Maintains a history of parties/ participants, their roles, and their relationships in each case. This creates links that can be followed for system actions, i.e., providing an attorney mailing address for a system-generated document for a particular party. **Vendor Response (written narrative here):**				
AC 5.2-22	**Flag Invalid and Confidential Addresses** Flag an address for such persons as juveniles and victims with a status of confidential (e.g., permanent, designated date to expire), or address no longer valid. **Vendor Response (written narrative here):**				
AC 5.2-23	**Maintain Email Address** Maintain multiple current and historical email addresses, with beginning and ending dates. **Vendor Response (written narrative here):**				
AC 5.2-24	**Mass Attorney Reassignment** Perform mass reassignment of attorney caseload by updating the attorney of record or by assigning cases to an office (e.g., public defender) on a single screen or in a single transaction. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.2-25	**Language Interpretation Needs** Manually enter data that a party needs an interpreter, and the language involved, by turning on **DN 5.3-8 Interpreter Needed Flag** and automatically turn on an alert – see **RP 1.3.2-1 (j) Person-Level Status Alert Examples - Interpreter Needed**. Same as Application Capability under **6.9 Provide Language Interpretation**. **Vendor Response (written narrative here):**				
AC 5.2-26	**Index External Agency Numbers** Record all numbers used by external organizations (e.g., prosecutor, law enforcement, code compliance) so that cases can be retrieved with those numbers. **Vendor Response (written narrative here):**				
AC 5.2-27	**Organizations as Parties in a Case** Maintain the name of an organization as a party, e.g., corporations, partnerships, DBAs (individuals "doing business as" an unincorporated company), and units of government. **Vendor Response (written narrative here):**				
AC 5.2-28	**Party Search of Persons Affiliated with an Organization-Party** Associate one or more persons with an organization, enabling a party search to return the names of persons involved in the case, including the following: • For corporation, registered agent, officers and employees • For partnerships, partners and employees • For DBAs, owners and employees • For units of government, officials and employees **Vendor Response (written narrative here):**				
AC 5.2-29	**Identify Real and Personal Property as Case Party** Enter an item of real or personal property as a party. In drug cases where the law allows the county to seize property used or involved in the crime, the county can file a civil forfeiture case with the case name, for example, "People of the State of Ohio vs. 1994 Lexus SC400." Property that may be forfeited includes cars, houses, and airplanes. **Vendor Response (written narrative here):**				
DE 5.2-01	**Attorney Information Update Notification** This data exchange sends attorney information updates from the State's Attorney's case management system to the Circuit Clerk, when an attorney's name has changed or his/her status has become inactive along with the reason for the inactivation; or a firm's name, address, or phone number has changed; or the firm's status has become inactive.				
DE 5.2-02	**Defendant Information Update Notification** This data exchange sends attorney information updates from the State's Attorney's case management system to the Circuit Clerk, when a defendant's address has changes, including the defendant's new address, and identifying descriptions including FBI and SID numbers. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 5.2-03	**Custody Status** This data exchange receives custody status of a defendant/ juvenile from the jail/ detention management system. **Vendor Response (written narrative here):**				
DN 5.2-03	**Address History** A history of addresses and identification data elements should be maintained in the system **Vendor Response (written narrative here):**				
DN 5.2-04	**Defendant History** A case query must display all history for the defendant in the court, including prior cases with similar offenses. **Vendor Response (written narrative here):**				
DN 5.2-05	**Structured Name Fields** Provide discrete fields for first name, last name, middle initial, suffix (i.e., Sr., Jr., III), and title; hyphenated Hispanic patronymic and matronymic surnames, aliases (AKAs), doing business as (DBAs), and corporate names **Vendor Response (written narrative here):**				
DN 5.2-4	**Structured Address Fields** Provide data structures for both mailing addresses (for communications) and street address **Vendor Response (written narrative here):**				
DN 5.2-5	**Formatted Vehicle and Party Information** Provide data storage for formatted information about vehicles and property, just as it does for people associated with cases. These descriptions should be separate from the case structure so they can be associated with multiple cases. **Vendor Response (written narrative here):**				
DN 5.2-6	**Multiple Telephone Numbers** Enter and maintain multiple phone numbers and extensions for an individual and link those numbers to a location (address), and include numbers that may not be associated with an address. **Vendor Response (written narrative here):**				
DN 5.2-8	**Interpreter Needed Flag (Limited English Proficiency)** The default value of this data field is 'off' (English proficient) for a party and is updated (turned 'On') when the judge orders an interpreter to be used to communicate with a party **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 5.2-9	**Interpreter Needed for Language** This list of languages is used as a drop-down list for the clerk to select the language a party needs interpretation for. **Vendor Response (written narrative here):**				
DN 5.2-10	**Organization Data** Capture information on businesses and organizations that may be parties to cases, including contact information, officers, representatives, etc. **Vendor Response (written narrative here):**				
DN 5.2-01	**Structured Name Fields** Provide discrete fields for first name, last name, middle initial, suffix (i.e., Sr., Jr., III), and title; hyphenated Hispanic patronymic and matronymic surnames, aliases (AKAs), doing business as (DBAs), and corporate names **Vendor Response (written narrative here):**				
DN 5.2-02	**Structured Address Fields** Provide data structures for both mailing addresses (for communications) and street address **Vendor Response (written narrative here):**				
DN 5.2-03	**Formatted Vehicle and Party Information** Provide data storage for formatted information about vehicles and property, just as it does for people associated with cases. These descriptions should be separate from the case structure so they can be associated with multiple cases. **Vendor Response (written narrative here):**				
DN 5.2-04	**Multiple Telephone Numbers** Enter and maintain multiple phone numbers and extensions for an individual and link those numbers to a location (address), and include numbers that may not be associated with an address. **Vendor Response (written narrative here):**				
DN 5.2-05	**Telephone Number Types** Specify telephone number types and mark primary contact numbers. **Vendor Response (written narrative here):**				
DN 5.2-06	**Interpreter Needed Flag (Limited English Proficiency)** The default value of this data field is 'off' (English proficient) for a party and is updated (turned 'On') when the judge orders an interpreter to be used to communicate with a party. **Vendor Response (written narrative here):**				
DN 5.2-07	**Interpreter Needed for Language** This list of languages is used as a drop-down list for the clerk to select the language a party needs interpretation for. **Vendor Response (written narrative here):**				

5.3 Manage Case Due Dates/ Set Ticklers – See 11.2 Use the Case Status to Trigger Actions (Alerts, Ticklers, Notifications)

5.4 File Subsequent Pleadings, Motions, Proposed Orders

Business Capability Description
The Prosecution files pleadings, motions and proposed orders in Court. Examples include amending charges downward, juvenile sealing motion.
Process Activities
1. Generate document (see **1.5 Generate Documents**)
2. File document with Clerk of Court
3. Serve opposing party (e-service occurs if document is e-filed)
4. Schedule hearing if appropriate

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.4-01	**Generate and File Subsequent Pleadings, Motions, Proposed Orders** Generate subsequent pleadings, motions, or proposed orders by merging case management system data with word processing templates. **Vendor Response (written narrative here):**				

5.5 Schedule Events and Manage Resources (Other than Grand Jury)

5.5.1 Schedule Appointments

Business Capability Description
Prosecution schedules appointments (including depositions) with witnesses, victims, opposing attorneys, clients.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.5.1-01	**View Calendar of Future/ Past Events** For a date range and choice of attorney, display a calendar of Court and Prosecution events, showing attorneys, parties, case numbers, case type, case status, filterable on any parameter. **Vendor Response (written narrative here):**				
RD 5.5.1-02	**View a Chronological List of Case Events.** Ability to view a chronological list of Case Events. **Vendor Response (written narrative here):**				
AC 5.5.1-01	**Schedule Prosecution Appointments** Schedule a Next Appointment Date / Time, Appointment Type and Duration, add Events (Dropdown: Deadline Date), add entry to Prosecution ROA, add to Officer's Outlook calendar, and set up tickler based on Next Appointment. (See **DN 5.5.1-01 Prosecution Events Table** **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.5.1-02	**Create Future Case Event** Ability to create a future Case Event and record the scheduled start date and time, and end date and time, location and invited participants, event type and description. **Vendor Response (written narrative here):**				
AC 5.5.1-03	**Record Whether Accept or Decline Future Event** Ability to record whether invited Case Event participants accepted or declined the invitation to a scheduled event **Vendor Response (written narrative here):**				
AC 5.5.1-04	**Set Up Appointment Tickler** Enable the user to set up a tickler when scheduling an appointment. **Vendor Response (written narrative here):**				
AC 5.5.1-05	**Record Actual Case Event** Ability to convert a scheduled Case Event into a Case Note by recording actual start date and time, and end date and time, location, attendees, event type and description. **Vendor Response (written narrative here):**				
AC 5.5.1-06	**Attach Case Document to Case Event** Ability to attach one or more Case Documents to a Case Event. See **5.1.1 Attach Documents to Case.** **Vendor Response (written narrative here):**				
AC 5.5.1-07	**Create a Case Event when a Document is Sent or Received** Ability to automatically create a Case Event when a document is sent or received with the Case Event being the transmission of the Case Document. **Vendor Response (written narrative here):**				
DN 5.5.1-01	**Prosecution Events Table** For a case this table contains Event Description, Deadline Date, Status, Status Date, with Add, Delete, Find Item and Find Next Item capability. **Vendor Response (written narrative here):**				
DN 5.5.1-02	**Prosecution Appointments Table** For a case this table contains Appointment Type and Duration, with a total of durations, with add and delete capability. **Vendor Response (written narrative here):**				

5.5.2 Manage Professional/ Specialist Resources

Business Capability Description

Track credentials of and use of expert witnesses

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.5.2-01	**External Resource Display** For a date range, display by Resource Type (Dropdown: list), all professional and specialist resources, name, phone, email address, Prosecution reference **Vendor Response (written narrative here):**				
AC 5.5.2-01	**Create Professional/ Specialist Resources Profiles** Ability to create various types of Resources, ranging from the internal Resources to various External specialists. **Vendor Response (written narrative here):**				
AC 5.5.2-02	**Availability of Resource** Ability to capture availability, non-availability, ad hoc availability. **Vendor Response (written narrative here):**				
AC 5.5.2-03	**Resource Payment Slips** Ability to generate Resource payment slips and send them to the Resources. **Vendor Response (written narrative here):**				
AC 5.5.2-04	**External Resource Portal** Ability to create external Resource Dashboards to allow the resource to: • Change their personal details • Update the details supplied by the Resource • Update availability and non-availability which is used in scheduling • Be offered work and accept or reject • Be shown a list of current work • Be notified of re-appointment requirements • Submit an on-line re-appointment application form • Enter time sheets for payment of work • View time sheets submitted and their progress				
AC 5.5.2-05	**Notes on Resource** Ability to attach Notes to a Resource **Vendor Response (written narrative here):**				

5.6 Prepare for Court Sessions

Business Capability Description

The Prosecution prepares for a court session by reviewing the cases scheduled and taking appropriate action.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.6-01	**Prosecution Session Case Information Display** For a given Date/Time and Courtroom number, the display shows all of the cases set for a court session (see **DN 6.1-3 Session Roster Table**), and the user's selecting a case in the table displays the following case data fields: a. Defendant b. Case Number c. Proceeding Type d. Attorney e. DOB f. Sex g. Race h. Accident/ Offense Report # i. Auto-filled indicators: 1. Compliant 2. Non-Compliant 3. Jail Waived 4. Jail Not Waived 5. Good Driver j. Alerts/ Warnings k. Related Cases (see **DN 5.2.1-1 Related Cases Table**) l. Charge Info summary (see **RD 1.1.2-9 Case Charge/Events Display**) with navigation to viewing Charge Details **Vendor Response (written narrative here):**				
AC 5.6-01	**Search and View Court Session** Select Session Date, Time (Dropdown: AM, PM), Division, and display cases in court session (see **RD 17.2.2-1 Prosecution Session Case Information Display**). **Vendor Response (written narrative here):**				

5.6.1 Issue Subpoenas (see 1.5 Issue Documents)

Business Capability Description
The Prosecution requests or issues subpoenas.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.6.1-01	**Subpoena Display/ Report** For a case or for a date range, display the subpoena(s) issued for the case(s), showing case number, status, defendant name, witness name, court event, date issued, date served. The display is filterable by column. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.6.1-01	**Enter Subpoena Details** In a case, select a Name in the Victim/ Witness Summary display for entry of a new subpoena, including: a. Subpoena Type (Dropdown: Witness, Duces Tecum), Subpoena Status (Dropdown: Issued, other values), Status Date, Cancel Subpoena checkbox, Call Off Subpoena checkbox, Court Event date/time; b. Service Data: Service Type (Dropdown: Certified Mail, Regular Mail, Personal, Clerk Service, Court Liaison, Fax), Service Result (list of values), Service Date; c. Service Address: Address history with checkbox to select the Address and Type, Service Comments textbox; d. Court Events: Court Events history with checkbox to select, Date, Time, Division, Proceeding Type e. Other: Appearance Location, Legal Assistant name (from list of values), Comments text box, with ability to edit. **Vendor Response (written narrative here):**				
AC 5.6.1-02	**Print Subpoena** Print three copies of the selected subpoena – one for the witness, one to file with the Clerk of Court, and the third filed with the return of service by the process server. **Vendor Response (written narrative here):**				
AC 5.6.1-03	**Subpoena Service information** Service information concerning a subpoena is populated by entry of return of service – see **3.4 Record Service**. **Vendor Response (written narrative here):**				
DN 5.6.1-01	**Subpoena History Table** A history of subpoenas issued in a case, including Issue Date, Type, Court Event, Subpoena Status, Service Type, Called-Off checkbox. **Vendor Response (written narrative here):**				

5.6.2 Track Service of Subpoenas

Business Capability Description

Prosecution tracks whether subpoenas they have issued have been served or not, in preparation for hearing or trial.

Process Activities

1. Check court case for service of subpoena.

5.6.3 Cancel Subpoenas or Call Off Witnesses

Business Capability Description

Prosecutors cancel subpoenas when a case is disposed before trial, or call off witnesses not needed for trial when a trial is rescheduled. See **RD 5.6.2-01 Subpoena Display/ Report**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.6.3-01	**Event Code Triggers Calling Off Witnesses** When the court enters an event code for canceling or calling off (rescheduling a trial), notification is automatically generated to the Prosecutor's Office and to the witness canceling the witness's court appearance, automatically updating the Prosecutor ROA and the tree view. **Vendor Response (written narrative here):**				
AC 5.6.3-02	**Manually Cancel or Call Off Subpoena** Select a subpoena in the **Subpoena History Table (DN 5.6.2-01)** with the appropriate Court Event, edit Subpoena Details, and mark Cancel or Call Off checkbox, automatically updating the Prosecutor ROA and the tree view. **Vendor Response (written narrative here):**				
AC 5.6.3-03	**Notify Court Liaison** Send electronic notification to Court Liaison when a Law Enforcement (LE) Witness is cancelled or called off. **Vendor Response (written narrative here):**				

5.6.4 Witness List

Business Capability Description
The Prosecution discloses the witness list in a case as part of pretrial discovery.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.6.4-01	**Witness List Report/ Display** For a case display the witnesses identified for the case, with Name, Address, Phone Number, Email Address. **Vendor Response (written narrative here):**				
AC 5.6.4-01	**Edit Witness List** Enable a user to edit **RD 5.6.5-01 Witness List Report/ Display**, for disclosure. **Vendor Response (written narrative here):**				

5.7 Manage Evidence

Business Capability Description
The Prosecution manages providing discovery to opposing counsel, and requesting evidence from opposing counsel and case participants.
Business Rules

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.7-01	**Evidence Detail Display** For each item of evidence to be stored as evidence by the Prosecution: a. Case Number b. Date Received d. Evidence Reference Number e. Evidence Type (Dropdown: Documentary, Photo, Physical, Report, Video) d. Document Description (Dropdown: 1. Affidavit and Complaint 2. Written or recorded statement(s) of defendant or co-defendant, including police summaries of such statements, including grand jury testimony by either the defendant or co-defendant 3. Accident Report 4. In Store Report 5. Victim's Letter 6. Restitution/ Bills e. Confidential Work Product Flag (see **DN 4.4.3-01**) f. Counsel-Only Evidence Flag (see **DN 4.4.3-02**) **Vendor Response (written narrative here):**				
AC 5.7-01	**Evidence Item Entry/ Update** Enter a new piece of evidence, update its status, or delete a piece of evidence. See **RD 8.1-01 Evidence Detail Display**. **Vendor Response (written narrative here):**				

5.8 Manage Discovery Requests

5.8.1 Manage Discovery Requested by Opposing Counsel

Business Capability Description
The Prosecution manages discovery requests from opposing counsel. Also see **4.4.3 Tag Documents as Attorney Work Product**. See **RD 8.1-01 Evidence Summary Display**.

Business Rules
BR 5.8.1-01 Comply with Discovery Requests
Ohio Rules of Civil Procedure, Rule 26(B)(1) provides that parties may obtain discovery regarding any matter, not privileged, which is relevant to the subject matter involved in the pending action, whether it relates to the claim or defense of the party seeking discovery or to the claim or defense of any other party, including the existence, description, nature, custody, condition and location of any books, documents, or other tangible things and the identity and location of persons having knowledge of any discoverable matter.

Process Activities
1. When evidence is requested by opposing counsel, log the date of request.
2. Turn on "Evidence Requested by Opposing Counsel" Status Alert (Flasher) – see **RD 11.2-04 Person Case Status Alerts/(Flashers)**.

3. After delivery of evidence, Turn off "Evidence Requested by Opposing Counsel" Status Alert (Flasher) – see **RD 11.2-04 Person Case Status Alerts/(Flashers)**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.8.1-01	**Evidence Requested by Opposing Counsel Log** For a date range, display discovery requests from opposing counsel: a. Case Number b. Date Requested by Opposing Counsel c. Date Provided d. PA Name e. Opposing Counsel Name f. Evidence Type (Dropdown: Documentary, Photo, Physical, Report, Video) **Vendor Response (written narrative here):**				
AC 5.8.1-01	**Evidence Requested Notification to PA** Generate a notification to the Prosecuting Attorney on the case involved when discovery is requested in the case. **Vendor Response (written narrative here):**				
AC 5.8.1-02	**Discovery Provided Detail** For a given release of evidence in a case when requested by opposing counsel: a. Discovery Response by Item: Select items of evidence in the case and indicate which response to make for each: 1) Copies are enclosed 2) Does not exist 3) Items are available to copy or photograph at a mutually agreeable time. Please contact this office to inspect and copy or photograph the items. 4) The prosecution is unaware of any evidence favorable to the defendant and material to guilt or punishment. 5) The prosecution does not anticipate eliciting expert opinion. b. Generate a written response to opposing counsel's request using data **in RD 5.8.1-01 Evidence Requested by Opposing Counsel Log**, enabling the user to update it in responding to the discovery request: 1) Case Number 2) Date Requested 3) Opposing Counsel Name 4) Date Provided/ Refused 5) PA Name 6) Discovery Response by Item (see (a) above) 7) Confidential Work Product Indicator (see **DN 4.4.3-01 Confidential Work Product Flag**) 8) Counsel-Only Evidence Indicator (see **DN 4.4.3-02 Counsel-Only Evidence Flag**) 7) Method of Delivery: Uploaded, Hand-delivered, Faxed, Sent by ordinary mail, Left at front desk of Lucas County Prosecutor's Office c. Generate PDF portfolio (multiple PDFs in a single PDF file) containing the written response (see (b) above), and the items of discovery released. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 5.8.1-01	**Evidence Requested by Opposing Counsel Flag** This flag when turned on indicates that opposing counsel has requested evidence in this case. **Vendor Response (written narrative here):**				

5.8.2 Request Discovery from Opposing Counsel

Business Capability Description
The Prosecution requests discovery from opposing counsel. Also see **4.4.3 Tag Documents as Attorney Work Product**. See **RD 8.1-01 Evidence Summary Display**.

Business Rules

Process Activities
1. When evidence is requested by the Prosecution, log the date of request.
2. Turn on "Evidence Requested by Prosecution" Status Alert (Flasher) – see **RD 11.2-04 Person Case Status Alerts/(Flashers)**.
3. After delivery of evidence, Turn off "Evidence Requested by Prosecution" Status Alert (Flasher) – see **RD 11.2-04 Person Case Status Alerts/(Flashers)**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.8.2-01	**Evidence Requested by Prosecution from Opposing Counsel Log** For a date range, display discovery requests by the Prosecution from opposing counsel: a. Case Number b. Date Requested c. Date Provided d. PA Name e. Opposing Counsel Name f. Evidence Type (Dropdown: Documentary, Photo, Physical, Report, Video) g. Description (text) h. Date Needed By **Vendor Response (written narrative here):**				
AC 5.8.2-01	**Evidence Requested Tickler to PA** Generate a tickler to the Prosecuting Attorney on the case involved set as the Date Needed By when the Prosecution requests discovery in the case. **Vendor Response (written narrative here):**				
AC 5.8.2-02	**Discovery Detail** For a given piece of evidence requested by the Prosecution from opposing counsel, auto-populate information about the Prosecution's request using data in **RD 8.2.2-01 Evidence Requested by Prosecution from Opposing Counsel Log**, enabling the user to update it after receiving discovery:				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	a. Case Number b. Date Requested c. Date Provided d. PA Name e. PA Staff Assisting f. Opposing Counsel Name g. Evidence Type (Dropdown: Documentary, Photo, Physical, Report, Video) h. Document Description (Dropdown: Affidavit, Offense Report, Complaint, Supplemental Police Report, Accident Report, Drug Lab Report, Blood Lab Report, Driving History, In Store Report, Victim's Letter, Restitution/ Bills, Other) **Vendor Response (written narrative here):**				
TI 5.8.2-01	**Electronic Delivery of Discovery** Provide the means for secure electronic access to discovery, both sending and receiving. **Vendor Response (written narrative here):**				
DN 5.8.2-01	**Evidence Requested by Prosecution Flag** This flag when turned on indicates that the Prosecution has requested evidence in this case. **Vendor Response (written narrative here):**				

6 Criminal- and Juvenile-Specific Prosecution Capabilities

6.1 Evaluate Case/ Offer Plea Bargain/ Settlement

6.1.1 Staffing of Cases

Business Capability Description
The Prosecution may internally staff cases to identify best course of action in a Criminal or Juvenile case.
Process Activities
1. Record the results of the staffing in the Prosecution ROA and Case Notes.

6.1.2 Recommend Bond Amount and Bond Conditions

Business Capability Description
The Prosecution recommends a bond amount and bond conditions in a Criminal or Juvenile case, and updates the confidential Prosecution ROA and Case Notes with the offer.
Process Activities
1. Evaluate risk of flight using Criminal Record (NORIS), court criminal/ juvenile history, and Supplemental Reports
2. Recommends a bond amount and bond conditions in a case.
3. Record the offer in the Prosecution ROA and Case Notes.

6.1.3 Communicate Plea Offer/ Sentence/ Post-Release Control Recommendation

Business Capability Description
In Criminal and Juvenile cases the Prosecution reviews criminal history and documentary evidence, meets with counsel of the defendant/ respondent before a pretrial conference, and prepares a plea agreement.
Process Activities
1. Evaluate Criminal Record (NORIS), court criminal/ juvenile history, and Supplemental Reports
2. Make an offer of a plea bargain in a case.
3. Record the offer in the Prosecution ROA and Case Notes.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.1.3-01	**Prepare Criminal or Juvenile Plea Agreement** Generate a plea agreement using auto-fill data and Prosecution-entered data. **Vendor Response (written narrative here):**				

6.2 Monitor Defendant/ Youth Conditions with Probation, File Violations

Business Capability Description
The Prosecution monitors compliance with conditions of probation, assisted by the Adult or Juvenile Probation Department. Probation or the Prosecution will file notice of violation or a motion to revoke.

6.3 Screen/ Determine Cases for Referral to Programs

6.3.1 Track Entry and Success of Diversion

Business Capability Description
The Prosecution screens cases for entry into a diversion program, and tracks compliance with conditions.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.3.1-01	**Diversion Status and History Report/Display** For a date range list the cases on diversion status (see **DN 6.3.1 Diversion Status Flag**), showing Name, Case Number, Date of Diversion,				
AC 6.3.1-01	**Identify Defendant/ Respondent as Diversion Status** 1. Enable the user to turn on/off **DN 6.3.1 Diversion Status Flag.** 2. Record grant of Diversion Status in Prosecution ROA. **Vendor Response (written narrative here):**				
AC 6.3.1-	**Identify Defendant/ Respondent as Diversion Successful Completion Status**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
02	As a Prosecution Case Event to the Prosecution ROA as "Successful Completion of Diversion." **Vendor Response (written narrative here):**				
DN 6.3.1-01	**Diversion Status Flag** This flag when turned on indicates the person is on diversion status. **Vendor Response (written narrative here):**				

6.3.2 Screen Cases for Referral to Court Diagnostic and Treatment Center (CDTC) for Mental Health Forensic Examination

Business Capability Description
The Prosecution screens for whether cases should be referred to Court Diagnostic and Treatment Center (CDTC) for a mental health forensic examination on Not Guilty by Reason of Insanity (NGRI) or Competency.
Business Rules

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.3.2-01	**Mental Health Forensic Examination Detail Display** For each person referred to Court Diagnostic and Treatment Center (CDTC) for a mental health forensic examination on Not Guilty by Reason of Insanity (NGRI) or Competency by the Prosecution: a. Case Number b. Date Referred d. Person Name e. Examination Requested Type (Dropdown: NGRI, Competency) d. Date Received Report e. Examining Doctor's Name f. Exam Results (free text) **Vendor Response (written narrative here):**				
AC 6.3.2-01	**Mental Health Forensic Examination Entry/ Update** 1. Enter a new person referred to Court Diagnostic and Treatment Center (CDTC) for a mental health forensic examination, update its status, or delete a request. See **RD 6.3.2-01 Mental Health Forensic Examination Detail Display**. 2. Turn on flag when exam requested **Vendor Response (written narrative here):**				
DN 6.3.2-01	**Mental Health Forensic Examination Requested Flag** This flag indicates that a Mental Health Forensic Examination has been requested. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 6.3.2-02	**Mental Health Forensic Examination Results Received Flag** This flag indicates that a Mental Health Forensic Examination results have been received. **Vendor Response (written narrative here):**				

6.4 Track Requests for and Extradition and Waiver of Extradition

Business Capability Description
The Prosecution tracks whether a defendant in custody has waived extradition to another state.
Business Rules

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.4-01	**Waiver of Extradition Detail Display** For each person who is subject to extradition to another state: a. Case Number b. Date of Arrest d. Defendant Name e. Extradition Request State (free text) d. Date Received Request e. Extradition Requested Flag (Y/N) e. Defendant Extradition Waived (Y/N) f. Comments (free text) **Vendor Response (written narrative here):**				
AC 6.4-01	**Waiver of Extradition Entry/ Update** 1. Enter a request for waiver of extradition. See **RD 6.4-01 Waiver of Extradition Detail Display**. 2. Turn on flag when extradition requested. See **DN 6.4-01 Extradition Requested Flag.** 3. Turn on flag when extradition waived. See **DN 6.4-02 Defendant Extradition Waived Flag.** **Vendor Response (written narrative here):**				
DN 6.4-01	**Extradition Requested Flag** This flag indicates that a Waiver of Extradition has been requested. **Vendor Response (written narrative here):**				
DN 6.4-02	**Defendant Extradition Waived Flag** This flag indicates that a defendant Waives Extradition. **Vendor Response (written narrative here):**				

6.5 Close Cases

Business Capability Description
When a court case has a disposition, staff marks it as "Closed."

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.5-01	**Close Case** Enable a user to change the case status to "Closed." See Case/ Matter Status (Dropdown: Closed, Open, Post-Disposition) **Vendor Response (written narrative here):**				

6.5.1 Dismiss and Re-indict if Charges Substantially Change

Business Capability Description
The Prosecution may move to dismiss a case without prejudice and re-indict, for a number of reasons, including if charges substantially change, or statutory time limits are approaching.
Process Activities
1. File motion and proposed order.

6.5.2 Obtain Plea or Try the Case

Business Capability Description
The Prosecution at some point in the case decide whether to accept a plea or try the case; either way, the case will be disposed and staff will close the Prosecution case.

6.5.3 Notification on Nurse, Teacher Felony Convictions

6.6 Investigate Cold Cases

Business Capability Description
The Prosecution investigates cold cases with law enforcement.
Process Activities

7 Manage Victims & Witnesses

Business Capability Description
The Victim/ Witness Division is a section of the Prosecutor's Office designed to help individuals who have been a victim or witness of a violent crime. Victim advocates provides crisis-intervention, support and informational services to those affected by violent crime. The goal of the Division is to help victims and witnesses understand their rights and responsibilities so that they can make intelligent choices about what is best for them.
Business Rules
BR 9-01 Victims' Rights Statute
ORC Chapter 2930 specifies victim rights.
Process Activities
PA 9-01 Overall Process of Managing Victim Assistance

1. Victim intake (typically when the victim testifies for the grand jury)
   - Collect victim information on Victim Notification Preferences Form
   - Help victim register in VINE
   - Refer to counseling
   - Enter victim statistics
2. Notify victim when defendant appears in court, and accompany to hearing if requested
3. Assist victim in preparing impact statements, compensation

7.1 Victim/ Witness Intake/ Update

7.1.1 Victim Notification Preferences and Statistics

Business Capability Description
Victim-Witness Assistance Program staff enters/ updates data provided by a victim on a Victims' Rights Notification Responses Form and on a Victim Statistics Worksheet.
Business Rules
BR 7.1.1-01 Victims' Rights
ORC Chapter 2930 confers a number of rights upon victims to be informed about cases and to be notified of events in the case by any means reasonably calculated to provide prompt actual notice.
BR 7.1.1-02 Victim's Representative
ORC 2930.02 Victim's representative requires that if a victim's representative is to exercise the rights of a victim, the victim or victim's representative shall notify the prosecutor or, if it is a delinquency proceeding and a prosecutor is not involved in the case, shall notify the court that the victim's representative is to act for the victim. When a victim or victim's representative has so notified the prosecutor or the court, all notice under this chapter shall be sent only to the victim's representative, all rights under this chapter shall be granted only to the victim's representative.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.1.1-01	**Victim Rights Notification Response Data** For a date range, show the data described in **AC 7.1.1-01 Enter Victim Statistics**. **Vendor Response (written narrative here):**				
RD 7.1.1-02	**Victim Statistics Report/Display** For a date range, show the data described in **AC 7.1.1-01 Enter Victim Statistics**. **Vendor Response (written narrative here):**				
AC 7.1.1-01	**Enter Victim Rights Notification Response Form Data** Enter data in a screen designed to capture the following data for a victim: a. Date of entry b. Defendant name c. Case number d. Judge e. Prosecutor f. Type of crime (Dropdown: list of values) g. Victim name (Last Name, First, Middle, Suffix)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	h. Victim's representative to exercise rights checkbox i. Victim's representative name (Last Name, First, Middle, Suffix) j. Victim Address (Type Dropdown: Mail, Residence, Legal) - multiple k. Victim E-mail Address (Type Dropdown: Home, Cell, Work 1, Work 2, Other), Primary checkbox - multiple l. Victim Phone Number (Type Dropdown: Home, Fax, Cell, Work 1, Work 2, Other), and Primary checkbox - multiple m. Best time to reach (text) n. Elect to Exercise Rights Indicator (Y/N) **Vendor Response (written narrative here):**				
AC 7.1.1-01	**Enter Victim Statistics** Enter data in a screen designed to capture the following data for a victim: a. Date b. Race/ Ethnicity c. Sex d. Person characteristics (check all that apply): 1) Non-English speaking 2) Homeless 3) LGBTQ 4) Disabled 5) Mental health e. City Zip Code (Dropdown: list of zip codes) f. Rural Zip Code g. Number of victims by age group (Dropdown: 0-12 years, 13-17 years, 18-29 years, 30-44 years, 45-54 years, 55-60 years, 60 and over) h. Type of victimization (Dropdown: Assault, Domestic Violence, Child Physical Abuse, Child Sexual Abuse, DUI/DWI, Homicide, i. Adult Sexual Assault, Adult Molested as Child, Elder Abuse, Robbery, Other) j. Type of service provided (Dropdown: Info/Referral (In-Person), Personal Advocacy, k. Criminal Justice Support/ Advocacy, Follow-up Contact l. Assistant with Compensation Form, m. Telephone Contact, n. VINE Referral o. VINE Registration) **Vendor Response (written narrative here):**				

7.1.2 Determine Restitution Obligation from Economic Loss

Business Capability Description

Prosecution gathers information about a victim's economic loss and makes this information available to Probation who includes it in their presentence investigation.

Req. #	Requirement	Response Code	Estimated Hours to

		I	C	N	
AC 7.1.2-01	**Record Victim Economic Loss in Prosecution Case Notes** 1. Enable the user to record notes on economic loss in Prosecution Case Notes 2. Attach documentation of economic loss (e.g., receipts, medical reports) 3. Print or email Case Notes to Probation on demand **Vendor Response (written narrative here):**				

7.2 Notify Victims/ Witnesses

7.2.1 Track Notifications Provided

Business Capability Description
The Victim/Witness Unit notifies victims as required by law of court and administrative hearings concerning the defendant, and of all sentencing orders and any order which changes a previous sentencing order (including modifications to sentencing orders ordered without a scheduled hearing).
Business Rules
BR 9.2.1.1-01 Notify Victim of Court Proceedings
ORC 2930.06(B) requires the prosecutor or prosecutor's representative to provide the victim, to the extent practicable with notice of court proceedings or delays, if the victim requests this information.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.2.1-01	**Scheduled Hearings in Victims' Cases Report/Display** 1. For cases with a Victim in Case Flag (**DN 7.2.1-01 Victim in Case Flag**) activated, show a report of scheduled hearings in the court showing the following data: a. Event Date b. Case Number c. Defendant Name d. Victim Name e. Hearing type (Dropdown: Competency, NGRI (not guilty by reason of insanity), Bond Forfeiture Hearing, Arraignment, Pre-trial, Motion Hearing, Sentencing, Probation Violation, Community Control Violation, Review Hearing, Judicial Release Hearing, Intervention in Lieu Hearings, Diversion Hearings, Other Modification of Sentencing Order) **Vendor Response (written narrative here):**				
AC 7.2.1-01	**Select and Generate Victim Notifications** 1. Display **RD 7.2.1-01 Scheduled Hearings in Victims' Cases Report/Display** 2. Enable the user to select individual scheduled events or select all, or "Other Modification of Sentencing Order" 3. Generate a victim notification letter (or email, if the victim selected that notification option) for each event 4. Log the notification generation in the ROA of each Prosecution case **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 7.2.1-01	**Victim in Case Flag** This flag is turned on when Prosecution staff (Criminal, Juvenile or Civil Division) identifies a victim in a case. **Vendor Response (written narrative here):**				

7.3 Record Communications from Victim Family in Prosecution Case

Business Capability Description
The Victim/Witness Unit tracks communications from victims for accountability.
Process Activities
1. If a written communication or email from the victim, scan and attach it to the Prosecution case, and record in the Prosecution case ROA. See **5.1.5 Attach Documents to Case.**
2. If a phone message, enter description in Case Notes of the Prosecution case, and record in the Prosecution case ROA.

7.4 Track Victim Assistance Referrals

Business Capability Description
The Victim/Witness Unit tracks victim assistance referrals for accountability.
Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.4-01	**Victim Assistance Referrals Report** For a date range show a list of victim assistance referrals showing the following data: a. Date of Referral b. Victim Name c. Case Number d. Type of Referral (Dropdown: Grand Jury advocacy, Information/referrals to other agencies and programs (in person), VINE referral, Registration with VINE (Victim Information and Notification Everyday), victim to court proceedings, Ongoing assistance with Ohio Victims of Crime Compensation Program application, Act as a liaison between victim and prosecutor, Attend victim/witness interviews with prosecutor, Employer, creditor and housing intervention, Follow up contact, Telephone contact, Help with victim impact statement and read it in court if need be, Notify victim in writing every time the defendant appears in court, Register victim with ODRC to receive notifications of any changes in prisoner status, Notify victim in writing of upcoming hearings for parole, judicial release or general release, Notify victim if prisoner is moved from one facility to another). **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 7.4-01	**Record Victim Assistance Referral** For a Prosecution case record for each victim assistance referral the following: a. Date of Referral b. Victim Name c. Case Number d. Type of Referral (Dropdown: Grand Jury advocacy, Information/referrals to other agencies and programs (in person), VINE referral, Registration with VINE (Victim Information and Notification Everyday), Accompany victim to court proceedings, Ongoing assistance with Ohio Victims of Crime Compensation Program application, Act as a liaison between victim and prosecutor, Attend victim/witness interviews with prosecutor, Employer, creditor and housing intervention, Follow up contact, Telephone contact, Help with victim impact statement and read it in court if need be, Notify victim in writing every time the defendant appears in court, Register victim with ODRC to receive notifications of any changes in prisoner status, Notify victim in writing of upcoming hearings for parole, judicial release or general release, Notify victim if prisoner is moved from one facility to another). **Vendor Response (written narrative here):**				

7.5 Track Victim Statistics

Business Capability Description

The Victim/Witness Unit tracks victim statistics for accountability.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 7.5-01	**Victim Statistics Report** For a date range show the following information about victims: a. Date of entry b. Defendant name c. Case number d. Judge e. Prosecutor f. Type of crime (Dropdown: list of values) g. Victim name (Last Name, First, Middle, Suffix) h. Victim's representative to exercise rights checkbox i. Elect to Exercise Rights Indicator (Y/N) j. Economic Loss (Y/N) k. Number of Victim Assistance Referrals **Vendor Response (written narrative here):**				

8 Appeals

Business Capability Description
The Prosecuting Attorney represents the State, officials and subdivisions in appealed cases in civil and criminal cases. Cases are appealed in the District Court of Appeals or the Supreme Court.
Business Rules
[Cite Rules of Appellate Procedure]
Process Activities
After issues are joined by parties submitting briefs, the Court decides the appeal on briefs only or hears oral argument.

8.1 Prepare Appellate Briefs

Business Capability Description
Prosecutor's staff tracks deadlines and attorneys prepare the briefs.
Business Rules
[Rules of appellate procedure specify deadline for submitting briefs]
Process Activities
1. Obtain access to trial transcripts
2. Track next deadline
3. File paper/ e-file brief(s)

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 8.1-01	**Appealed Cases Report/ Display** For a date range this list shows for each appealed case the Appellant, Appellee, Status (Dropdown: Active, Completed), Date of Notice of Appeal, Next Brief Deadline, Date of Decision, Prosecutor Name, Opposing Counsel, Result (Dropdown: Affirmed, Reversed, Affirmed in Part and Reversed in Part). **Vendor Response (written narrative here):**				
AC 8.1-01	**Track Briefing Deadlines with Ticklers and ROA Entries** 1. Set ticklers– See **AC 11.2-06 Tickler - Case Status Tickler Manual or Automatic Update** 2. Enable the user to enter the next deadline in the Prosecution Case ROA, and to make new ROA entries with a reason code (Dropdown: Appellant Requested Extension, Appellee Requested Extension). **Vendor Response (written narrative here):**				

8.2 Oral Argument and Appellate Decision

Business Capability Description
Prosecutor's staff tracks if oral argument is offered by the Court, and results of the appeal.
Process Activities
1. Notify appellate attorney if oral argument is requested by the Court
2. Update Prosecution ROA with appellate decision

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 8.2-01	**Track Oral Argument Date with Ticklers and ROA Entries** 1. Set ticklers– See AC 11.2-06 Tickler - Case Status Tickler Manual or Automatic Update 2. Enable the user to enter the oral argument date in the Prosecution Case ROA, and to make new ROA entries with a reason code. **Vendor Response (written narrative here):**				

9 Manage Attorney & Legal Assistant Workload

9.1 Track Prosecutor Assignments

Business Capability Description

Assigning a prosecutor to a case creates record of the lead attorney on the case. Prosecutor-case assignments are contained in **DN 2.1.5-01 Attorney-Case Assignment Table DN 2.1.5-01 Attorney-Case Assignment Table.** Tracking courtroom assignments in the General Division facilitate rotating courtroom assignments annually.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.1-01	**Prosecutor Assignment History Report** For a date range, for a prosecutor (or selected prosecutors), list the cases assigned to the prosecutor, case number, date of assignment, defendant, case type, lead (most serious) charge, judge, disposition type (Drop down: Plea, Trial, Dismiss). See **DN 2.1.5-01 Attorney-Case Assignment Table**. **Vendor Response (written narrative here):**				
RD 9.1-02	**Prosecutor Assignments to General Division Courtrooms Report** For a date range, for a prosecutor or for a courtroom (or selected courtrooms), list the dates of prosecutor assignment to the courtroom. **Vendor Response (written narrative here):**				
AC 9.1-01	**Track Prosecutor Assignments to General Division Courtrooms** Enable the user to enter/update for a prosecutor the General Division courtroom assignment, with courtroom number, judge, date assigned, and date of end of the assignment. **Vendor Response (written narrative here):**				
DN 9.1-01	**Assignments to General Division Courtrooms Table** This table contains General Division Courtroom assignments with courtroom number, judge, date assigned, and date of end of the assignment. **Vendor Response (written narrative here):**				

9.2 Track Civil Division Attorney Time

Business Capability Description
Civil Division attorneys track time spent on client matters, in order for the office to bill clients for attorney time spent.
Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.2-01	**Civil Division Attorney Time Tracking Report** For a date range, show for an attorney (or selected attorneys), client, matter number, hours, date of time worked, date/time stamp of data entry, user ID, with totals by attorney and totals by matter. **Vendor Response (written narrative here):**				
AC 9.2-01	**Record Attorney Time on Civil Matters** Enable a user to enter time spent on a matter, entering attorney name, client, matter number, hours, date/time stamp, user ID. **Vendor Response (written narrative here):**				
DN 9.2-01	**Civil Division Attorney Time Tracking Table** This table contains data of attorney time spent on client matters, including attorney name, client, matter number, hours, date of time worked, date/time stamp of data entry, user ID. **Vendor Response (written narrative here):**				

9.2.1 Invoice Monthly

Business Capability Description
Civil Division attorneys invoice for time spent on client matters.
Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.2.1-01	**Civil Division Attorney Time Invoice** For a date range for a client, show for all attorneys who spent time, and for each matter of the client, the matter number, hours, date of time worked, hourly rate, with totals by attorney and totals by matter. **Vendor Response (written narrative here):**				
AC 9.2.1-01	**Record Attorney Time on Civil Matters** Enable a user to enter time spent on a matter, entering attorney name, client, matter number, task (Dropdown: contract review, deposition, document drafting), hours, date/time stamp, user ID. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 9.2.1-01	**Civil Division Attorney Time Tracking Table** This table contains data of attorney time spent on client matters, including attorney name, client, matter number, hours, date of time worked, date/time stamp of data entry, user ID. **Vendor Response (written narrative here):**				

9.3 Mange Prosecution Work Queue

Business Capability Description
Prosecution management monitors the level of customer service, execution of tasks in work queues, identifies bottlenecks, reallocates staff dynamically based on workload, and assesses whether scheduling and resource use are effective.
Business Rules
BR 9.3 Customer Service Expectations
Prosecution office policy may specify how the length of time for responding to items in a work queue, by user role, as a means of setting expectations for response times for court customers.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 9.3-01	Work Queue Display For a given date/ time, a display of the number and type of items in a work queue (detail of work items exportable for Excel analysis). **Vendor Response (written narrative here):**				
RD 9.3-02	Work Item Flow Report For a date/ time range, by work queue type and work item type, a summary of the number of work items in a work queue, the length of time of work items in the work queue, and the number of times work items are forwarded before being completed. **Vendor Response (written narrative here):**				
RD 9.3-03	Work Item Bottleneck Report For a date/ time range, by work queue type and work item type, a summary of the percentage of work items that exceed the standard time. **Vendor Response (written narrative here):**				
RD 9.3-04	Length of Time in Work Queue Measure and log the length of time a work item is in a work queue, by type of work item (e.g., filing review, court customer query response, internal query response). **Vendor Response (written narrative here):**				
DN 9.3-01	Work Item Processing History This table stores the date/ time a work item is posted to a work queue and the date/ time it is disposed (including referral to someone else), with work item				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	type, queue type, **Vendor Response (written narrative here):**				

10 Measure Prosecuting Attorney's Office Statistics

10.1 Track Criminal/ Juvenile Prosecution Case Statistics

Business Capability Description
Generate reports

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 10.1-01	**Criminal Prosecution Case Statistics Report** For a date range, list by attorney (or selected attorneys), detail or summary information by case type/ category (Dropdown: Offense, Delinquency, Dependency), lead (most serious) charge, judge, disposition type (Drop down: Plea, Trial, Dismiss), in the following categories: 1. Open Assignments 2. Cases Disposed **Vendor Response (written narrative here):**				

10.2 Track Civil Matter Statistics

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 10.2-01	**Civil Matter Statistics Report** For a date range, list by attorney (or selected attorneys), detail or summary information by matter/ case type/ category (Dropdown: Arbitration, Civil Suite, Contract Review, Disposition Type (Drop down: Arbitration Award, Settlement, Trial, Dismiss, Closure), in the following categories: 1. Open Assignments 2. Matters/ Cases Disposed **Vendor Response (written narrative here):**				

11 Adapt to Changing Business Environment

11.1 Modify Work Procedures to Respond to Changed Events and Conditions

Business Capability Description
Add and change workflows and business rules to meet changing legal and work requirements.

Business Rules
Reference specific state statutes, state court rules, local court rules

Process Activities

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 11.1-01	**Visual Tools for Displaying and Configuring Workflows** Display workflows to enable modification. **Vendor Response (written narrative here):**				
RD 11.1-02	**Visual Tools for Displaying and Configuring Business Rules** Display business rules to enable modification. **Vendor Response (written narrative here):**				
AC 11.1-01	**Configure Queues for Routing Tasks** Configure workflows for routing tasks, documents and messages to work queues (based on roles) where users must take action on them (Dropdown: clerk issues warrant after judge signs it, route bond refund request to supervisor with authority to approve). Queues include: Prosecution Division Chief Prosecution Attorney Prosecution Admin **Vendor Response (written narrative here):**				
AC 11.1-02	**Configure Business Rules** Set up business rules appropriate to business processes as set by court policy, to update the case status whenever a certain condition is detected or a case event is recorded. Business rule settings are Sys Admin-modifiable through a business rules table. **Vendor Response (written narrative here):**				
AC 11.1-03	**Add New Case Event Types** Add new Case Event types and have functions, like event codes and document generation, change in synch and work properly with them. **Vendor Response (written narrative here):**				
AC 11.1-04	**Define Sequence of Events in Data Entry** Configure data entry screens sequentially to lead a user through data entry. **Vendor Response (written narrative here):**				
AC 11.1-05	**Add New Data Fields** Enable configuring of the system by adding new data fields to any table without corrupting pre-existing records: Values for data fields Free text fields Formatted data fields Calculated fields **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 11.1-06	**Disable User Account on Termination** Automatically Disable a User Account (Dropdown: when user's employment status changes from "Active") **Vendor Response (written narrative here):**				

11.2 Use the Case Status to Trigger Actions (Alerts, Ticklers, Notifications)

Business Capability Description
The Prosecution tracks events in a case and the status of a case and of its parties (i.e., special conditions about case/ person status) and use those events and statuses to determine what actions need to be performed or, more generally, the course that the case takes.

Trigger events may originate externally or internally. Case status may be set manually or automatically by the application, and the application may automatically perform the specified action or inform the user of the event or case status. A case status-related event may result in alerts, ticklers, or notifications.

The case managers receive information about events in a case and the status of a case and of its parties via alerts, tickler and notifications, and take appropriate action. Examples include case scheduling order deadlines, speedy trial, and internal deadlines. Case status flags trigger and support automated work procedures, such as interpreter needed, jury trial waived, recording requested, attorney case, judge recusal, etc.

Business Rules
BR 11.2-01 Case/ Person Statuses – Action Correlation Table
Court policy may specify the correlation of case statuses and defendant statuses with actions that must be taken when a certain state occurs. See DN 11.2-1 Person-Level State Alert Examples, DN 11.2-2 Case State Flags, DN 11.2-3 Tickler Examples.

Process Activities
PA 11.2-01 Fill a Data Field Based upon the Value of Another Data Field
Fill a data field based upon the value of another data field (Dropdown: turn off "Self-Represented" flag when an attorney enters an appearance in a case

PA 11.2-02 Trigger Document Production
Generate and print document(s) triggered by a specific event, event outcome, disposition, condition, or set of conditions (rule-based).

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 11.2-01	**Display of Alerts (Flashers)** • Display alerts (flashers) at the top of the relevant screen display • On a person record or case record, display a flashing red alert (flasher)				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	with an appropriate message based on the case status. **Vendor Response (written narrative here):**				
RD 11.2-02	**Person/Case Status Alerts (Flashers)** The following case/ person statuses activate a flashing alert (flasher) when the case or person record is displayed, prompting the user to perform or avoid some action: 1. Alert User to Non-Public Record Generate alert when displaying cases or portions of cases that are not public record or otherwise require user notification (Dropdown: victim address) 2. Appeal 3. Deferred Judgment/ Sentence 4. Diversion status (see **DN 6.3.1-01 Diversion Status Flag**) 5. Evidence Requested by Opposing Counsel (see **DN 5.8.1-01 Evidence Requested by Opposing Counsel Flag)** 6. Evidence Requested by Prosecution **DN 5.8.2-01 Evidence Requested by Prosecution Flag** 7. Inactive Case/ Charge (see **DN 5.1.2-01 Inactive Case or Charge Flag**) 8. In custody 9. Interpreter Needed (see **DN 2.1-8 Interpreter Needed Flag**) 10. Juvenile (Age of Defendant) 11. Party deceased 12. Sealed/ Expunged Case (see **DN 11.2-1 Sealed/ Expunged Case Flag**) 13. Probation status 14. Prone to violence 15. Self-Represented Litigant (SRL) 16. Show Cause 17. Victim in Case (see **DN 7.2.1-01 Victim in Case Flag**) 18. Warrant Outstanding **Vendor Response (written narrative here):**				

RD 11.2-03	**Display of Ticklers and Notifications**
	Display ticklers and notifications to the user or work group targeted for it, with the following information:
	• Defendant Name
	• Case Number
	• From Work Unit
	• When the From Work Unit is Courtroom:
	  ○ Court Session Division
	  ○ Court Session Judge
	• Date Created
	• Time Created
	• Message Contents
	Vendor Response (written narrative here):				

RD 11.2-04	**Display of Case/ Defendant Statuses – Action Correlation Table Display** As of a given date, a display of case statuses and defendant statuses specified by court policy with actions related to the change of state **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 11.2-01	**General - Case Status Flag Manual or Automatic Update** Manually update the case status flag where no event code triggers automatic update, or automatically update the status flag triggered by a business rule. See **DN 11.2-03 Case Status Flag** **Vendor Response (written narrative here):**				
AC 11.2-02	**General - Event-Based Case State Updates** Configure event codes to update case/ person statuses identified in **BR 11.2 Case/ Person Statuses – Action Correlation Table**. **Vendor Response (written narrative here):**				
AC 11.2-03	**Alert - Case/ Person Status Alert Manual or Automatic Update** Manually update the case/ person status alert (flasher) where no event code triggers automatic update, or automatically update the status triggered by a business rule. See **DN 11.2-01 Case/ Person Status Alerts (Flashers)**. **Vendor Response (written narrative here):**				
AC 11.2-04	**Ad hoc Message Alert** Alert a user or group of users with a screen message or email. **Vendor Response (written narrative here):**				
AC 11.2-05	**Tickler - Case Status Tickler Manual or Automatic Update** Manually update the case tickler where no event code triggers automatic update, or automatically update the status flag triggered by a business rule. See **DN 11.2-06 through DN 11.2-09 Ticklers requirements.** **Vendor Response (written narrative here):**				
AC 11.2-06	**Tickler - Show Case Event as Not Yet Due** Case Event is waiting in a certain step in the process. It may not be yet available for processing. Example: The appellate brief has not been submitted yet, but it is visible to internal staff as in proc**ess.** **Vendor Response (written narrative here):**				
AC 11.2-07	**Tickler - Show Case Event as Due** Case Event is waiting in a certain status xxx days before due date. It is available for processing. Example: An appellate brief is filed and served before due date.				
AC 11.2-08	**Tickler - Show a Case Event as Overdue, xxx Days after the Due Date** It may be still available for processing by the allocated Resource but is also visible to a person in a higher role as overdue. Example: Service of a subpoena is late (not accomplished by the set time). Service is showing as late to the attorney who can take action. Service may still be obtained.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 11.2-09	**Tickler - Determine Due Date and Escalation** Determine milestones for each Case Event as due date, escalate xxx days before due date, timeout nnn days before due date. Example: A second letter is sent to a party 10 days after the first letter was sent and no response is received **Vendor Response (written narrative here):**				
AC 11.2-10	**Tickler - Automatic Deletion of Ticklers** Delete tickler automatically when the designated action is taken. **Vendor Response (written narrative here):**				
AC 11.2-11	**Tickler - Escalation of Ticklers** Automatically notify a user's supervisors if a tickler is not responded to within a period set by parameter. See **DN 11.2-05 Tickler Escalation Parameter**. **Vendor Response (written narrative here):**				
AC 11.2-12	**Notification - Enable the User to Create a New Notification** (See **RD 11.2-02 Display of Ticklers and Messages/ Notification**s) • Enter unlimited message text • Indicate the court case the message applies to. • Indicate the department(s) the message is to be sent to. • Verify the department against the master department list. If the department is not contained on the list, display an error message and the entry shall not be accepted. • Indicate the department from which the message originated. • Allow for additional data elements specific to the department the message is being routed to. • Request a "return receipt" to be sent after the original message has been selected for viewing by the receiving department/person. **Vendor Response (written narrative here):**				
AC 11.2-13	**Notification -Case Status Flags and Related Notifications** Transitions in the state (status) of the case and of the parties/ participants create an event used by the application: 1. Attorney Conflict of Interest 2. Attorney Suspended 3. Case Expunged 4. Defendant Deceased 5. Electronic Filing Defendant Flag (indicating electronic service) 6. Extradition Requested (See **DN 6.4-01 Extradition Requested Flag**) 7. Extradition Waived (See **DN 6.4-02 Extradition Waived Flag**) 8. Failure to Appear on Defendant's Bond (see **DN 6.3-1 Failure to Appear on Defendant's Bond Flag**) 9. Failure to Appear on Surety Bond (see **DN 6.3-2 Failure to Appear on Surety Bond Flag**) 10. Gun case (see **DN 2.2-01 Gun Case Flag**) 11. Inactive Bail Agent (see **DN 8.4-2 Inactive Bail Agent Flag**) 12. Indigent (see **DN 6.4 Indigent Status Flag**) 13. Interpreter Needed				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	14. Judge Recusal 15. Jury Demand Filed 16. Mental Health Forensic Examination Requested (**see DN 6.3.2-01 Mental Health Forensic Examination Requested Flag**) 17. Mental Health Forensic Examination Results Received (**see DN 6.3.2-02 Mental Health Forensic Examination Results Received Flag**) 18. Monetary Balance Owing 19. No Scheduled Next Event 20. No Service (on a witness based on configurable period before trial) 21. Non-Electronic Filing Defendant (see **DN 2.1.2-8 Non-Electronic Filing Defendant Flag**) 22. NSF (Non-Sufficient Funds) Check 23. Petition to Revoke Filed (see **DN 16.6.2-1 Petition to Revoke Filed Flag**) 24. Potential Conflict Because of Unavailability 25. Redacted/ Original Document (see **DN 4.6-1 Redacted/ Original Document Flag**) 26. Self-Represented Case (SRL) (see **DN 2.4-4 Self Represented Case Flag**) 27. Self-Represented Litigant (SRL) (see **DN 2.4-2 Self Represented Litigant Flag**) 28. Transcript Deadline for Appealed Case Passed 29. Uncollectible Account Flag (see **DN 7.6.1-1 Uncollectible Account Flag**) 30. Victim in Case (see **DN 7.2.1-01 Victim in Case Flag**)				
AC 11.2-14	**Notification -Case Status Notification Actions** Enable a user to take action based on the user's notification display for each department as defined within the Department Master table (see **DN 11.2-01 Department Master Table**): • Sort messages by Defendant Name by Case Number by reverse Date/Time Created • Display the elements in **RD 11.2-02 Display of Ticklers and Messages/ Notifications** • Enable a user to select a message for further processing • Enable a user to delete a message • Enable a user to forward the message to one or more departments • Enable a user to add a comment which will prefix the original message text. • Enable a user to print the message • When the receiving Department is identified as having "Automatic Message Deletion", delete the specified message after the user has returned to the Message Display from their review/processing of the specified message **Vendor Response (written narrative here):**				
DE 11.2-01	**Import Alerts, Ticklers and Notifications from Court Case Management** Alerts, ticklers and notifications applied to persons and courts cases are imported to also apply to court cases imported. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 11.2-02	**Notify External Organizations** Create locally configurable notifications for other organizations, like prosecutor or police department. **Vendor Response (written narrative here):**				
DN 11.2-01	**Department Master Table** This table contains the departments used during generation of messages/ notifications as "to" and "from" fields (e.g., Clerk, Court Administration, Court Reporter, Probation, Prosecution). **Vendor Response (written narrative here):**				
DN 11.2-02	**Initial Values of Person/ Case-Level Status Flags** At case initiation the default value of person-level and case-level status fields is 'Off. **Vendor Response (written narrative here):**				
DN 11.2-03	**Automatic Update of Person-Level and Case-Level Status Flags** Person-level and case-level status flags are turned 'On' automatically when status changes, and ticklers are turned 'On' either automatically when an event occurs in a workflow or manually. **Vendor Response (written narrative here):**				
DN 11.2-04	**Case/ Defendant Statuses – Action Correlation Table** This table contains data for each case status and defendant state identified in **BR 15.4 Case/ Defendant Statuses – Action Correlation Table**, and a corresponding action related to each state. **Vendor Response (written narrative here):**				
DN 11.2-05	**Tickler Escalation Parameter** The number of hours parameter, after which a tickler that has not been responded to is escalated to a user's supervisor. **Vendor Response (written narrative here):**				
DN 11.2-06	**Case Inactivity Parameter** The number of hours parameter, after which a tickler that has not been responded to is escalated to a user's supervisor. **Vendor Response (written narrative here):**				

12 General High-Level Functional and Technical Requirements

This section describes some of the general and technical requirements that will be required of a Prosecution Case Management System (CMS). Additional requirements that apply across all functional areas are set forth in sections **11.1 Modify Work Procedures to Respond to Changed Events and Conditions** and **11.2 Use the Case Status to Trigger Actions**.

12.1 Technical Environment

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
15.1-01	1. The proposed solution is required to allow attorneys and staff to view, collect, store, analyze, share and safeguard case and person information in all courts in an efficient and cost-effective manner, because parties may have cases in more than one division at a time, and attorneys and staff need visibility to more than one at the same time. 2. The proposed solution must not allow limited or no access to juvenile court information to department staff outside the Juvenile Division. **Vendor Response (written narrative here):**				
15.1-02	The proposed solution must support separate configurations for each of the three divisions. **Vendor Response (written narrative here):**				
15.1-03	The proposed solution must support virtualization, and include a multi-tier architecture: 1. Front End: Web-based using standard browser 2. Middleware such as IIS or Tomcat -- Distributed where required 3. Database: Must be ODBC-compliant relational database **Vendor Response (written narrative here):**				
15.1-04	Describe the system architecture (e.g., browser, n-tier, thin client, etc.) of your application. Identify any particularly beneficial aspects of this architecture. Provide diagrams as needed. **Vendor Response (written narrative here):**				
15.1-05	The proposed solution's data tier must include transaction-level backup and restoration. **Vendor Response (written narrative here):**				
15.1-06	High Availability The Prosecution CMS is a round-the-clock system (7 x 24 x 365) that must have reliability and high availability. The system may operate in a reduced capacity should an issue such as hardware failure occur. In such a case, no data is lost or corrupted and the user can perform all system functionality, albeit with slower response times. Describe the uptime and availability which can be expected of this system. Identify any factors which will affect uptime. **Vendor Response (written narrative here):**				
15.1-07	Describe how the proposed solution will be shown to meet benchmarks established for user testing and acceptance. These benchmarks will include items such as: • The number and types of defects that will be allowed for production, • Response time with a load of 500 concurrent users -- Describe the response time which can be expected of this system. Identify any factors which will affect response time. **Vendor Response (written narrative here):**				

Req#	Requirements	Response Code			Estimated Hours to Customize
		I	C	N	
15.1-08	Hardware to be used with the proposed solution must be scalable to fit current and future needs of the Court of Common Pleas, and the vendor must supply recommended, not minimal, hardware specifications. **Vendor Response (written narrative here):**				

12.2 Technical Support

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
12.2-01	Routine maintenance must not impact online availability or performance. Describe maintenance process **Vendor Response (written narrative here):**				
12.2-02	Provide a non-production training environment including the ability to periodically copy the production database to training database. Allow both production and training databases to be accessed simultaneously without cross linking or cross contamination. **Vendor Response (written narrative here):**				
12.2-03	Include a development database for testing of program changes. Allow both production and testing databases to be accessed simultaneously without cross linking or cross contamination. **Vendor Response (written narrative here):**				
12.2-04	Provide data-dictionary, ER diagrams, and user manuals for the system. The vendor must provide updated documents with each release/update. **Vendor Response (written narrative here):**				

12.3 Security and Audit

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.3-01	Provide application-level audit trails that show which users and workstation addresses logged onto the system, when they logged on, and what part(s) of the system and database(s) they accessed (e.g., to detect unauthorized browsing) during a specified period; permit audit trails to be accessed, stored, archived, and purged. **Vendor Response (written narrative here):**				
12.3-02	Provide for the archiving and retrieval of all case records. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.3-03	Describe document redaction capabilities included in the application. **Vendor Response (written narrative here):**				
12.3-04	The application must maintain a historical record of all changes made to the system's components. It must ensure that system error and events for software, hardware, interfaces, operating system, and network are written to a system event log accessible and searchable by a system administrator. The system administrator must be able to easily monitor the system status directly or remotely. **Vendor Response (written narrative here):**				

12.4 Configurability

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.4-01	Configure searches appropriate to case type **Vendor Response (written narrative here):**				
12.4-02	Provide configurable workflows including the ability to modify a sequence of steps for capturing and presenting data within the application. **Vendor Response (written narrative here):**				
12.4-03	Provide an ad hoc report generation tool for users to prepare their own reports. **Vendor Response (written narrative here):**				
12.4-04	Able to add customized reports to be run at the user level. **Vendor Response (written narrative here):**				
12.4-05	Provide the functionality to configure business rules. **Vendor Response (written narrative here):**				
12.4-06	New Data Fields Enable configuring of the system by adding new data fields to any table without corrupting pre-existing records: a. Values for data fields b. Free text fields c. Formatted data fields d. Calculated fields **Vendor Response (written narrative here):**				
12.4-07	Provide a set of dashboard performance metrics (e.g., CourTool measures) that can be selected by individual users, according to their role in the organization. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.4-08	Display only relevant/available code table values on data entry screens. For example, criminal codes will not be displayed when working on a civil case; pre-disposition codes will not be displayed when a case is in post-disposition status. **Vendor Response (written narrative here):**				
12.4-09	Enable configuring an unlimited number of case-types (including program types) and associate each case-type with the following (e.g., referrals to such programs as mediation, problem-solving court, counseling, classes): a) Code tables values b) Docket codes c) Event-types d) Document types generated e) Data fields f) Calendars **Vendor Response (written narrative here):**				

12.5 User Interface

Req. #	Requirement	Response Code			Estimated Hours to Customize
12.5-01	Provide keyboard input alternatives to any "point and click" operation. **Vendor Response (written narrative here):**				
12.5-02	Able to interrupt an entry in the middle of the transaction to perform another activity such as an online search to answer an inquiry and then resume the interrupted transaction. **Vendor Response (written narrative here):**				
12.5-03	Provide auto fill date/time entry fields but allow for manual date change. The solution must have the ability to display a calendar to select from to populate the date fields. **Vendor Response (written narrative here):**				
12.5-04	Provide an on-line help option based on process and should be context sensitive. This help function must be integrated and include screen-shots. **Vendor Response (written narrative here):**				
12.5-05	1. The proposed application must be easily managed through graphical user interfaces. The system must allow for secure remote administration as well as on-site administration. The administration functions must include at a minimum: • User account and password management, • System security management, • System log review and maintenance, • System reports, • Notification management,				

Req. #	Requirement	Response Code			Estimated Hours to Customize
	• Software threshold parameter management, and • System and database backup initiation. **Vendor Response (written narrative here):**				
12.5-06	Support the concept of individual and shared work queues which are lists of pending work items across multiple functions. This should be facility specific. A person with a specific responsibility in a facility should be able to view only the queue for their function. **Vendor Response (written narrative here):**				
12.5-07	Provide spelling and grammar check. **Vendor Response (written narrative here):**				
12.5-08	Information displayed in a table may be sorted or resorted by clicking on a column header title. The column will then alternate between an ascending and descending display with each mouse click. Only one column may show as sorted. Any additional columns selected will unselect any prior sort. **Vendor Response (written narrative here):**				
12.5-09	Dropdown List Selection Provide a limited set of data from which to choose. Select the list box with a left mouse click or the tab key. Select the data with a left mouse click or the up and down arrow keys. The user starts typing in the characters corresponding to the desired data value. The system will attempt to find a data value matching the character(s) that have been entered. If the value displayed matches the value desired, pressing the tab key selects that value and moves to the next field. Pressing the Delete key will clear the value that has been selected. **Vendor Response (written narrative here):**				
12.5-10	Auto fill date/time entry fields but allow for manual date change. **Vendor Response (written narrative here):**				
12.5-11	Display a calendar to select from to populate date fields. **Vendor Response (written narrative here):**				

12.6 Interfaces/ Data Exchanges

Req. #	Requirement	Response Code			Estimated Hours to Customize
15-6.01	The proposed solution must support/accommodate the incorporation of specific, interfaces specified by proposing an integration architecture. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
15-6.02	Support data exchange standards such as the National Information Exchange Model (NIEM) and a Service Oriented Architecture conforming to the Global Reference Architecture (GRA). **Vendor Response (written narrative here):**				
15-6.03	Support an interface to a document management solution that allows documents to be viewed based on a specific case number. **Vendor Response (written narrative here):**				
15-6.04	Provide for the integration with county email system. **Vendor Response (written narrative here):**				

B. Demonstration Scenarios – High-Level Descriptions of Business Capabilities

A high-level description of a business capability is a scenario. A demonstration scenario is a sequence of events that jury administration, a judge, or courtroom staff will experience when performing a jury management function, for use during system procurement. Participant scenarios provided in an RFP will notify case management system vendors what activities their CMS should be able to support, and will serve as a script for vendor demos and for product acceptance testing.

1.1 Grand Jury Scheduling

An APA wants to schedule a grand jury after determining that there is enough evidence to present a case to the grand jury. Included functionality to be shown/discussed:

- Defendant/case search (e.g., full name, partial name, alias, DOB) – demonstrate Person and Case Search functions
- Grand jury scheduling
  - Look up available grand jury slots
  - Notification to jury coordinator – grand jury date needed
  - Entry on schedule by jury coordinator
  - Set tickler for APA
  - Log entry by jury coordinator for slot
  - Notification to APA clerk – grand jury slot reserved
  - Notification to APA – grand jury date set

1.2 Issue Grand Jury Subpoena

An APA wants to issue subpoena documents as well as the person who will testify about them. Included functionality to be shown/discussed:

- Defendant/case search (e.g., full name, partial name, alias, DOB)
- Document generation (subpoena and subpoena duces tecum)
  - Person (witness) search

  - Enter documents subpoenaed (subpoena duces tecum)
  - Attach generated document to log entry
- Grand jury number generation or logging
- Notification to PA investigator about service needed
- Entry by PA investigator regarding service completed or not
- Notification to APA administrator and APA about service completed or not

1.3 Appeals Motion Practice

An Appeals Bureau APA files an original motion or a response to defense motion. Included functionality to be shown/discussed:

- Defendant/case search (e.g., full name, partial name, alias, DOB)
- Document generation
  - Motion or response with custom text
  - Affidavit of service
  - Mailing label
  - Log entry
- Schedule oral argument
  - Set tickler for APA
- Transmit document
  - Log entry

1.4 Asset Forfeiture Investigation

An Asset Forfeiture Unit detective investigator initiates an investigation and gathers enough evidence for the APA to seek an order to seize assets. Included functionality to be shown/discussed:

- Criminal complaint number (CC#) generation
- Log entry on investigation
- Document generation (subpoena and subpoena duces tecum)
  - Defendant/case search (e.g., full name, partial name, alias, DOB)
  - Enter documents subpoenaed (subpoena duces tecum – financial and employment records)
  - APA review and signature
  - Log entry
- AFU # generation
- Document generation
  - Order for seizure with custom text
  - Log entry

1.5 Ohio Public Records Request

A requestor requests specific documents from a file. Staff retrieve the file, copy documents, redact sensitive information, send a bill, and send the copies when paid in advance. Included functionality to be shown/discussed:

- Document generation
  - Acknowledgement of receipt of request with custom text
  - Mailing label

  - Log entry
- Defendant/case search (e.g., full name, partial name, alias, DOB) to verify witness
- Notify archives of file request
  - Log entry
- [Manual processes of reviewing file, copying documents, redacting data]
- Document generation
  - Bill requestor based on volume of documents
  - Mailing label
  - Log entry
- Deposit/receipt money received for copies
- Document generation
  - Mailing label
  - Log entry
- [Manual processes of returning file to archives]
  - Log entry

1.6 Assign APA in Rotation

An APA is assigned to a case or a group of cases based on the judge assignment. Included functionality to be shown/discussed:

- APA assignment to multiple cases “en masse”

1.7 APA or Judge Mass Change Process

Cases assigned to an APA or to a judge need to be reassigned to a different APA or judge. Included functionality to be shown/discussed:

- Select cases assigned to an APA or a judge
- Change assignment to a different APA or judge
  - Log entry in each case
  - [Display change of assignment]

1.8 Log In Evidence

The evidence clerk receives a request to check out evidence, and later checks it back in. Included functionality to be shown/discussed:

- Check evidence out
  - Log entry
- Conduct inventory to determine location of evidence
- Check evidence in
  - Log entry

1.9 Link Related Information

- Link related cases
- Link related persons
- Link related log entries
- Link log entries to persons

1.10 Merge Data for a Person

Merge person identities and the associated linkages to cases if duplicate identities were generated for the same person.

1.11 Multiple Case Identifiers

Associate a case with unlimited external identifiers (e.g., SID, grand jury number, indictment number, court docket number, booking numbers, federal case number.

1.12 Delete or Modify Log Entries

- Delete or modify specific log entries and all related data (e.g., entry made in error).
- Demonstrate audit trail created

1.13 Text Merge Templates

Demonstrate how to create and maintain files of output templates and standard text, including entire paragraphs, and use files to create documents by inserting data and text into templates (e.g., subpoenas, letters, notices).

1.14 Configurable Data Requirements

- Data Input Screens
- Data Drop-down Lists
- Case Identifiers
- User-defined Data Fields

1.15 Rule-Driven Behavior/Workflow

Demonstrate capability of configuring business rules

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A. Introduction to Business Capabilities

These requirements for a jury management system (JMS) are based on business capabilities which describe what a Jury Commission does in the course of jury management. Business capabilities incorporate the goals and performance objectives of the organization, and are broken down in further detail, in detailed business capabilities.

Business capabilities incorporate the goals and performance objectives of prosecutors, and are broken down in further detail, in detailed business capabilities. Business rules, process activities, reports/ displays, application capabilities and data needs related to detailed business capabilities follow the numbering scheme of the business capabilities. Vendors are to respond to the requirements in the matrix.

1) Vendor Responses to Matrix of Requirements

The requirements which vendors will respond to are contained in a requirement matrix with the following format:

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
Reference Number	**Title of Requirement** Description of Requirement **Vendor Response (written narrative here):**				

Legend of Response Codes:

- I = Included
- C = Must Customize to meet requirement – and estimated hours to customize
- N = Not Supported (not willing or able to customize)

The types of requirements below which vendors will respond to will are contained in the formatted table above.

RD Report/ Display Needs	These requirements are called "Report/ Display Needs" because they can be printed on paper or displayed on a screen, at the option of the user. Almost all reports are specified for a given date range with parameters for single or multi-0county districts or multiple districts.
AC Application Capabilities	Application capabilities are functions that an application must perform during a business process. Vendors will be required to state whether their jury management solution has an application capability built into it through configuration, or whether it must be customized. Application Capabilities are numbered sequentially in these requirements.
DE Data Exchanges	Data exchanges mean data and document content imported to and exported from the JMS.
DN Data Needs	Data elements required by other requirements are identified as data management needs, such as indicator flags, drop-0down lists of values, and other kinds of data used by business rules and for Report/ Display Needs.

TI Technology Infrastructure Needs	Infrastructure needs include requirements related to hardware, systems software, network capabilities and facilities.

These four items associated with a numbered Business Capability will be in free text:

1 Business Capability Description
2 Business Rules
3 Process Activities
4 Demonstration Scenarios (following the matrix of requirements)

For reference to terms used, the Glossary is contained in **Appendix C.** Words in brackets like <This> are defined in the Glossary.

2) Sections of the Jury Management System RFP:

- Business Capabilities and requirements matrix (this document)
- Demonstration Scenarios (this document)
- Non-Functional Requirements
- Existing Interfaces – None.
- Desired Data Exchanges (this document)
- Legacy Data Structures – None.

1. Create the Master List of Prospective Jurors

1.1 Create and Maintain Master List

1.1.1 Obtain Source List(s) and Standardize Records

Business Capability Description

Jury Administration receives a disk of names from the Board of Elections as its source list.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 1.1.1-01	Insert data into data structures for the following fields from the source list agencies: (1) first name, surname, and middle initial; (2) mailing address, (3) street address; (4) DOB; and (5) county of residence; and (6) date source list record last updated (if available). **Vendor Response (written narrative here):**				
AC 1.1.1-02	Enable the user to mark confidential addresses (e.g., civil protection orders, witness protection, etc.) with confidentiality flag, as ordered by the judge, to alert court staff not to disclose the record - See **DE 1.1.1-01 Confidentiality Flag**. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DE 1.1.1-01	Confidentiality Flag See AC 1.1.1-03 Source list agency must provide person/ address. **Vendor Response (written narrative here):**				
DN 1.1.1-01	Juror Confidentiality Flag See AC 1.1.1-03 This flag can be turned on manually by Jury Administration in response to information received. The flag being turned on alerts Jury Administration not to disclose the address. **Vendor Response (written narrative here):**				
DN 1.1.1-02	Source List Date The date that the source list was last received by the court **Vendor Response (written narrative here):**				

1.1.2 "Cleanse" Master List

Business Capability Description

Remove disqualified prospective jurors from the <Jury Pool> of the eligible population to create the <Master List>, and update addresses through NCOA.

Business Rules

BR 1.1.2-01 Identification of Out-of-Jurisdiction (Non-Resident) Prospective Jurors

Statute or court rule may require that a prospective juror qualified to serve in a county must have a zip code (used as a geocode) associated with that county.

BR 1.1.2-02 Identification of Exempt and Disqualified Prospective Jurors

Ohio Rev. Code. §2313.14 specifies that only cloistered members of religious organizations are exempt from jury service.

The following are disqualified, and thus may not serve as jurors:

- Persons who are no longer residents of Lucas County
- Persons who have served as jurors in a court of record in Lucas County within the past year.

BR 1.1.2-03 Reasons for Removal of Prospective Jurors during Master List Cleansing

Statute or court rule may require that a prospective juror record be removed from the master list after merging source lists for the following reasons:

1. Missing name
2. Missing address
3. Out-of-jurisdiction address (see BR 1.1.2-01 Identification of Out-of-Jurisdiction (Non-Resident) Prospective Jurors)
4. Exemption or disqualification (see BR 1.1.2-02 Identification of Permanently Disqualifications of Prospective Jurors)
5. Temporary disqualification (e.g., out of the county attending college)

Process Activities

a. Remove records of deceased persons and other permanently disqualified persons

Identify records of exempt and disqualified prospective jurors

Update addresses by sending for National Change of Address (NCOA) processing

Update addresses by sending for Coding Accuracy Support System (CASS) processing

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 1.1.2-01	List of Prospective Jurors Removed and Reason for Removal Show totals by source list, with totals of permanent removals and flagged temporary removals **Vendor Response (written narrative here):**				
RD 1.1.2-02	NCOA (National Change of Address) Updates Show numbers of records flagged with new address, bad address, other information; numbers of records removed due to new (Out-of-jurisdiction) addresses, bad address, or other information **Vendor Response (written narrative here):**				
RD 1.1.2-03	Zip Code Updates Show number of records not within allowed zip codes **Vendor Response (written narrative here):**				
AC 1.1.2-01	Permanent Removal of Names from Master List Configure criteria for removing names from master list permanently, e.g., deceased, adjudicated mental status. **Vendor Response (written narrative here):**				
AC 1.1.2-02	Temporary Removal of Names from Master List Configure criteria for flagging names removed temporarily from master list, e.g., away attending college, previous jury service within a defined period. **Vendor Response (written narrative here):**				
AC 1.1.2-03	Reactivate Names on Master List Temporarily "remove" and reactivate of names on master list on demand, to accommodate local policy concerning the summoning rate (local juror demand relative to population). **Vendor Response (written narrative here):**				
AC 1.1.2-04	Submit master list to National Change of Address (NCOA) database for validation/ updating, and updating the master list with the results. **Vendor Response (written narrative here):**				
DE 1.1.2-01	Send Master List for NCOA Processing **Vendor Response (written narrative here):**				
DE 1.1.2-02	Send Master List for CASS Processing **Vendor Response (written narrative here):**				

2. One-Step Summon/ Qualify Prospective Jurors

2.1 Select Random Subset from Master List for Summons

2.1.1 Randomly Select from Venire Pool for Specific Service Period

Business Capability Description

Randomly select for jury summons from the <Venire Pool>

Business Rules

BR 2.1.1-01 Calculation of Number of Jurors to Select for Summoning

Jury administration experience will determine the number of prospective jurors needed to be selected for summoning, based on historical yields.

Process Activities

a. Select the number of prospective jurors using data in **DN 2.3-01 History of Summoning Yields**
b. Mark the prospective jurors as selected for summoning

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.1.1-01	Summoned Prospective Voter List For a date range, shows the list of jurors whose reporting date falls in the reporting date range and group parameters, with barcode, phone numbers and panel numbers. **Vendor Response (written narrative here):**				
RD 2.1.1-02	Random Pool List For a date range, show jurors in the venire pool in random order. **Vendor Response (written narrative here):**				
RD 2.1.1-03	Display the Number of Jurors Needed to Be Summoned Based on the Historical Yield **Vendor Response (written narrative here):**				
AC 2.1.1-01	Randomized Selection For a date range, generate a summons for jury service for the estimated number of randomly selected prospective jurors needed, assigning each prospective juror a barcode and panel number. Vendor must document the random selection process. **Vendor Response (written narrative here):**				

2.1.2 Case-Specific Jury Pools

Business Capability Description

For high-profile, multiple-defendant, or complex civil cases, the Jury Commission may select a <Panel> of case-designated prospective jurors from the jury <Venire Pool> for a courtroom, assign a unique panel identifier to the panel, and update juror records with the panel identifier

Req. #	Requirement	Response Code	Estimated Hours to

		I	C	N	
RD 2.1.2-01	Cases by Judge (same as RD 3.4.3) For a date range, all cases by judge: 1. Judge ID, 2. Case ID, 3. Case title, 4. Courtroom, 5. Start/end date, 6. Disposition (if any), and 7. Number of jurors sent **Vendor Response (written narrative here):**				
RD 2.1.2-02	List of Prospective Jurors by Panel Identifier For a panel number identifier, the list of jurors assigned to the panel. **Vendor Response (written narrative here):**				
AC 2.1.2-01	Select Panels for Date Select panels with the number of jurors needed on a reporting date (See **DN 3.4.1-01 Judge Request for Jurors** for number of jurors requested). **Vendor Response (written narrative here):**				

2.1.3 Generate and Mail Summons

Business Capability Description

Jury Administration generates and mails summons, and it may use a contractor to perform these tasks.

Business Rules

BR 2.1.3-01 Timeframe for Generating/Mailing Summons

Summonses should be generated and mailed no later than [xx] days before the reporting date.

BR 2.1.3-02 Remove Records for Prospective Jurors who are Ineligible for Jury duty Based on NCOA Updates

Summonses should not be generated for prospective jurors (1) who have moved Out-of-jurisdiction; (2) who are deceased; (3) with incomplete addresses based on NCOA updates.

Process Activities

a. Update addresses of jurors selected in 2.1.2 with NCOA.
   Generate the summons with name/ address for window envelope
   Mark the prospective jurors as mailed summonses

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.1.3-01	Total Summons Mailed, by Location and Reporting Date **Vendor Response (written narrative here):**				
RD 2.1.3-02	Total Records Removed based on NCOA Updates, by Reason **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.1.3-01	Generate Summons Generate a summons of jury service for the estimated number of prospective jurors needed, using BR 2.1.1-01. **Vendor Response (written narrative here):**				
AC 2.1.3-02	Juror Address Labels Generate standard Avery address labels 5160 (1 x 2-5/8). **Vendor Response (written narrative here):**				
DE 2.1.3-01	Portal to Request Generation of Summons. Enter parameters of the request (e.g., period of time, days to report, number of forms to be generated). **Vendor Response (written narrative here):**				
DE 2.1.3-02	Send to Third-0Party Mail Service **Vendor Response (written narrative here):**				

2.1.4 Calculate Summoning Yield

Business Capability Description

Jury Administration calculates jury yield (1-Step Process).

Business Rules

BR 2.1.4-01 Calculate <1-Step Jury Yield>

The estimate of the number of jurors to be summoned in a 1-step qualification and summoning process, is based on the following formula/ process:

a. The **<1-Step Jury Yield>** is the number of prospective jurors who are available for jury service on the date summoned, defined as the <u>total number of summonses mailed, MINUS the sum of the following</u>:
b. No response
c. Undeliverable
d. Disqualified
e. Exempt
f. Excused
g. Postponed (Deferred to future term)
h. PLUS Deferred from previous term
i. Divided by the number of summonses mailed, times 100 to make a percentage rate. - See Reports and Displays requirements

Multiply the **<1-Step Jury Yield>** by the number of prospective jurors on the **<Master Jury List>** - to determine the number in the **<Venire Pool>** See Reports and Displays requirements

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.3-01	Juror Summoning Yield Identifies the percentage of qualified jurors that are reached per term or month, including schedule changes and service ended. For a date range, list the following kinds of data:				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	a. Total number of summonses mailed b. Numbers of the following c. No response d. Undeliverable e. Disqualified f. Exempt g. Excused h. Postponed (Deferred to Future Term) i. Deferred from Previous Term j. Available for Service k. Calculated qualification yield percentage **Vendor Response (written narrative here):**				
AC 2.36-01	History of Numbers of Prospective Jurors Maintain a history of numbers of prospective jurors who are available for jury service on the date of summoning, and a history of the number of jury summonses mailed, and calculate jury yield (1-Step Process). **Vendor Response (written narrative here):**				
DN 2.3-01	History of Summoning Yields Maintain a history of summoning yields to determine the number of prospective jurors to be summoned, and for analysis of trends. **Vendor Response (written narrative here):**				

2.2 Process Summons Responses

2.2.1 Record Undeliverable Summons

Business Capability Description

Jury Administration receives returned summons that were undeliverable.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.1	List/Display of Undeliverable Summonses in a Date Range, with Total **Vendor Response (written narrative here):**				
AC 2.2.1-01	Record an undeliverable summons by scanning a bar code, and retrieve the juror record to update it as “summons undeliverable” **Vendor Response (written narrative here):**				
AC 2.2.1-01	Manually mark prospective juror as “Summons Undeliverable” **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.1-01	Put undeliverable summons in queue or work with list/display to investigate addresses of undeliverable summons. **Vendor Response (written narrative here):**				
DN 2.2.1-01	Non-Response Flag/ Date The first time during the Master List life cycle that a prospective juror does not respond to a summons, Jury Administration turns on the flag. **Vendor Response (written narrative here):**				
DE 2.2.1	Send Undeliverable Summons to Address Validation/ Correction Service **Vendor Response (written narrative here):**				
TI 2.2.1-01	Bar code scanner **Vendor Response (written narrative here):**				

2.2.2 Update Prospective Juror Information after Juror Receives Summons

Business Capability Description

Prospective jurors notify Jury Administration after receiving a summons if there is an issue, and Jury Administration updates their records.

See **AC 1.1.2-01 Permanent Removal of Names from Master List**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.2-01	Update Exemptions and Disqualifications Update exemptions and disqualifications on prospective juror records with returned summonses. **Vendor Response (written narrative here):**				
AC 2.2.2-02	Juror Payment Choices Update choices for juror payment disposition: a. Pay juror directly b. Contribute to charity – with limited number of choices c. Redirect payment to employer Court does not redirect to employer d. Waive payment **Vendor Response (written narrative here):**				
DN 2.2.2-01	Juror Payment Disposition Choices Drop-0down list of choices for juror payment disposition: a. Pay juror directly b. Contribute to charity – with limited number of choices c. Redirect payment to employer d. Waive payment				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	See **DN 3.2.1-07 Americans with Disabilities (ADA) Flag** This flag is turned on by Jury Administration using information from the qualification/ summons process, or when the prospective juror checks in or otherwise communicates. **Vendor Response (written narrative here):**				
DE 2.2.2-01	Jury Service Portal Allow prospective jurors to update information online about their exemptions and disqualifications, and juror payment choices. **Vendor Response (written narrative here):**				
TI 2.2.2-01	Phone, IVR, website, scanner **Vendor Response (written narrative here):**				

2.2.3 Process Disqualifications

Business Capability Description

Jury Administration processes exemptions and excuses after prospective jurors are summoned.

See **AC 1.1.2-01 Permanent Removal of Names from Master List** and **AC 1.1.2-02 Temporary Removal of Names from Master List**.

Business Rules

BR 2.2.3 Confidential Juror Information

A prospective juror's confidential information includes the following:

a. Protected health information i.e., the individual's past, present or future physical or mental health or condition

b. Other as defined by court rule

See **BR 1.1.2-02 Identification of Exempt and Disqualified Prospective Jurors**.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.3	Total Number of Jurors Disqualified, By Reason and Date Range **Vendor Response (written narrative here):**				
AC 2.2.3-01	Disqualifications Update prospective juror records with disqualifications. **Vendor Response (written narrative here):**				
AC 2.2.3-02	Request Disqualification Information If additional information is necessary to confirm disqualification, generate and mail letter or postcard requesting information from prospective juror. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.3-03	Attached Disqualification Information Upon receipt of requested disqualification information, attach unredacted version to juror's record with enhanced security level. See **BR 2.2.3-01 Confidential Juror Information**. **Vendor Response (written narrative here):**				
AC 2.2.3-04	Inform of Disqualification If disqualification is confirmed, generate and mail letter or postcard informing juror of disqualification, inform juror that he/she should not report for jury service on summons date. **Vendor Response (written narrative here):**				
AC 2.2.3-05	Flag Permanently Disqualified Juror Flag a prospective juror as "Permanently Disqualified." **Vendor Response (written narrative here):**				
DN 2.2.3-01	Permanent Disqualification Flag This flag is turned on when a prospective juror is identified as permanently disqualified **Vendor Response (written narrative here):**				
DN 2.2.3-02	One-time Suppression Flag This flag is turned on when a prospective juror is identified as temporarily disqualified **Vendor Response (written narrative here):**				

2.2.4 Process Excuses

Business Capability Description

Jury Administration processes excuses after prospective jurors are summoned (e.g., temporary medical conditions).

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.4-01	Total Number of Jurors Excused, By Reason By date range show the numbers of prospective jurors excused, by reason (Dropdown: list of values) **Vendor Response (written narrative here):**				
AC 2.2.4-01	Update Excuses Update prospective juror records with excuses. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 2.2.4-02	Request Excusal Information. If additional information is necessary to confirm excusal or request, generate and mail letter requesting information from prospective juror. **Vendor Response (written narrative here):**				
AC 2.2.4-03	Attach Unredacted Excusal Information Upon receipt of requested information, attach unredacted version to juror's record with enhanced security level. See **BR 2.2.3-01 Confidential Juror Information**. **Vendor Response (written narrative here):**				
AC 2.2.4-04	Attached Redacted Excusal Information Attach redacted version of juror's excusal documentation to juror's record and flag juror as "Excused." **Vendor Response (written narrative here):**				
AC 2.2.4-05	Flag Permanently Excused Juror Flag a prospective juror as "Permanently Excused." **Vendor Response (written narrative here):**				
DN 2.2.4	Permanent Excuse Flag This flag is turned on when a prospective juror is identified as permanently excused. **Vendor Response (written narrative here):**				

2.2.5 Process Deferrals Requested after Summons

Business Capability Description

Jury Administration assigns a new jury report date for a deferred prospective juror. Alternatively, a juror may go online to select a date within a range set by Jury Administration.

Business Rules

BR 2.2.5-01 Period of Deferral

Court rule may specify that a prospective juror may defer jury service one time before the end of the jury year. More than once requires judicial approval.

BR 2.2.5-02 Limit on Deferred Jurors in a Venire Pool

Court rule may specify that no more than [20%] of the <Venire Pool> on any given reporting date can consist of deferred jurors.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.5-01	Total Number of Prospective Jurors Deferred to Future Date, By Date Range **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.5-02	Total Number of Prospective Jurors Deferred from Previous Date, By Date Range **Vendor Response (written narrative here):**				
AC 2.2.5-01	Defer Jury Service Date and Juror Notification 1. Enable a user to specify a future jury service date. 2. Notify the prospective juror of the future jury service date via email and post to website. **Vendor Response (written narrative here):**				
AC 2.2.5-02	Flag Deferred Juror Flag the prospective juror as "deferred to future date." **Vendor Response (written narrative here):**				
DE 2.2.5-01	Jury Service Portal Allow prospective jurors to request deferral online once during a jury administration-0defined “year,” and select a date within the period allowed by jury administration. **Vendor Response (written narrative here):**				
DN 2.2.5-01	First Time Deferred to Future Jury Service Flag (also see 3.3.3 Defer to Future Date at Check-In) This flag is turned on by Jury Administration (or automatically if the prospective juror requests a deferral online and selects a date) when a juror for the first time is assigned a later date to serve. **Vendor Response (written narrative here):**				
DN 2.2.5-02	Second or More Times Deferred to Future Jury duty Flag (also see **3.3.3 Defer to Future Date at Check-In)** This flag is turned on by Jury Administration when a juror for the second or subsequent times is assigned a future date to serve. **Vendor Response (written narrative here):**				

2.2.6 Notify/Sanction Prospective Jurors Who Fail to Respond to Summons

Business Capability Description

Jury Administration follows up on prospective jurors who failed to respond to summons, and may request the court to issue Order to Show Cause (OSC) Notice or Bench Warrant/Body Attachment

Business Rules

BR 2.2.6-01 Non-Responding Juror Notification/ Sanction

Court rule may provide that a prospective juror who fails to appear for jury service on the reporting date is subject to the following notifications/ sanctions:

a. 1st instance: Send the prospective juror a second summons

b. 2nd instance: Serve the prospective juror with order to show cause (OSC) in court on a certain date

c. FTA at show-0cause hearing after 2nd instance: Issue bench warrant

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 2.2.6-01	List and Number of Prospective Jurors Mailed a Second Notice/Summons for a Given Date Range **Vendor Response (written narrative here):**				
RD 2.2.6-02	List and Number of Prospective Jurors Sent an OSC Notice for a Given Date Range – send Request to Court for Issuance of OSC Notice **Vendor Response (written narrative here):**				
RD 2.2.6-03	List and Number of Prospective Jurors for Whom a Bench Warrant/Body Attachment Was Issued for Failure to Appear at OSC Hearing – send Request to Court for Issuance of Bench Warrant/Body Attachment **Vendor Response (written narrative here):**				
AC 2.2.6-01	Letter to Non-Responding Prospective Jurors Select non-0responding prospective jurors and generate a letter to non-0responding prospective jurors, in batch or individually. See **BR 2A.3.6-01 Non-Responding Juror Notification/ Sanction**. **Vendor Response (written narrative here):**				
AC 2.2.6-02	Process After FTA Upon receipt of response to FTA notification/sanction, follow procedures for 2.2 Process Summons Responses, as appropriate. **Vendor Response (written narrative here):**				
AC 2.2.6-03	Collect Funds for OSC/Bench Warrant If fines/costs are assessed for OSC/bench warrant, collect funds from prospective juror, issue receipt. **Vendor Response (written narrative here):**				
DN 2.2.6-01	First Time FTA for Jury Service Flag This flag is turned on by Jury Administration when a juror fails to appear for the first time. **Vendor Response (written narrative here):**				
DN 2.2.6-02	Second or More Times FTA for Jury Service Flag This flag is turned on by Jury Administration when a juror for the second or subsequent times a juror fails to appear for service, and the court has ordered an OSC hearing. **Vendor Response (written narrative here):**				
DN 2.2.6-03	Bench Warrant Flag This flag is turned on by Jury Administration when a judge orders a bench warrant **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
TI 2.2.6-01	Telephone, IVR, Internet **Vendor Response (written narrative here):**				

3. Manage Jury Pool

3.1 Select Random Subset to Report for Specific Date/Time

3.1.1 Collect Info Re: Expected Trial Needs

Business Capability Description

Jury Administration collects information from courtroom and municipal courts on the number of jurors the judge is requesting. This data provides the basis for historical information and derived metrics maintained within the jury management system to calculate the number of prospective jurors to summon. The data originates in judge requests for jurors is **3.4.1 Notification to Jury Administration of Request for Jurors**.

Jury Administration also draws prospective jurors for Grand Jury.

Business Rules

BR 3.1.1-01 Normal Jury Panel Size

Court rule or local practice may specify, by case type, the normal jury panel size that judges may request without further explanation.

BR 3.1.1-02 Judicial Estimate of Jurors Requested

This calculation uses a history of all judges during a date range, by judge and by case type, of the number of jurors requested, and the number of jurors who went through voir dire on those cases. The Judicial Estimate of Jurors Requested is the ratio, by case type, of the number of jurors requested by a judge for all trials during a date range, divided by the number of jurors who went through voir dire on those cases. See **D.R. 3.1.1 History of Juror Requests by Judges**

For example, for a case type, if a judge requests 30 jurors and 26 go through voir dire, the Estimate of Juror Request ratio for this instance is 1.15 (30/26).

BR 3.1.1-03 Judicial Go-to-Jury-Trial Ratio

The Judge Go-to-Jury-Trial calculation is the ratio, by case type, of the number of cases for which jurors are requested that actually reach the point of conducting voir dire (i.e., are not settled, dismissed or pled), compared to the total number of cases for which jurors are requested. For example, for a case type, if a judge goes to voir dire in 75% of the cases set for trial, the Judge Go-to-Jury-Trial ratio is 75%.

BR 3.1.1-04 Attorney Go-to-Trial Ratio

The Attorney Go-to-Jury-Trial is the ratio, by case type, of the number of cases for which the attorney is lead counsel and jurors are requested that actually reach the point of conducting voir dire (i.e., are not settled, dismissed or pled), compared to the total number of cases for which jurors are requested. For example, for a case type, if an attorney goes to voir dire in 75% of the cases set for trial, the Attorney Go-to-Jury-Trial is 75%.

Req. #	Requirement	Response Code	Estimated Hours to

		I	C	N	
RD 3.1.1-01	List of Expected Jury Trials By judge name, this shows the following information for a case: a. Case number b. Case type c. Normal panel size d. Number of jurors requested e. Attorney names f. Judicial Estimate of Jurors Requested g. Judicial Go-to-Jury-Trial Ratio h. Attorney Go-to-Trial Ratio. **Vendor Response (written narrative here):**				
RD 3.1.1-02	Grand Jury Draw List For a reporting date range, show grand jurors by their reporting date, with juror name, addresses, badge number and panel number. **Vendor Response (written narrative here):**				
AC 3.1.1-01	Normal Panel Size Maintain a table by case type of the normal panel size that judges may request without further explanation. **Vendor Response (written narrative here):**				
AC 3.1.1-02	History of Jurors Requested Maintain a history of all cases, by judge, and by case type, of the number of jurors requested, and the number of jurors who went through voir dire on those cases. See **BR 3.1.1-01 Judicial Estimate of Jurors Requested** and **D.R. 3.1.1-02 Judicial History of Jurors Requested**. **Vendor Response (written narrative here):**				
AC 3.1.1-03	History of Cases Reaching Voir Dire Maintain a history of all cases, by judge, and by case type, of the number of cases for which jurors are requested that actually reach the point of conducting voir dire (i.e., are not settled, dismissed or pled), compared to the total number of cases for which jurors are requested. See **BR 3.1.1-02 Judicial Go-to-Jury-Trial Ratio**. **Vendor Response (written narrative here):**				
AC 3.1.1-05	History of “Cushion” Maintain a history of the "cushion" needed above the calculated estimate of jurors needed, to ensure that there are enough jurors to meet needs of voir dire and trial. **Vendor Response (written narrative here):**				
DN 3.1.1-01	Normal Jury Panel Size This table sets forth by case type the normal panel size that judges may request without further explanation. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 3.1.1-02	History of Jurors Requested This history maintains information about cases, by judge, case type and date, of (a) the number of jurors requested, and (b) the number of jurors who went through voir dire on those cases. **Vendor Response (written narrative here):**				
DN 3.1.1-03	Judicial Estimate of Jurors Requested This data field is completed by judges who have access to the jury management system, or by Jury Administration who enters the number of jurors requested by case, received by phone or other communication. **Vendor Response (written narrative here):**				
DN 3.1.1-04	Judicial Estimate of Trial Length This data field is completed by judges who have access to the jury management system, or by Jury Administration who enters the estimated trial length by case, received by phone or other communication. **Vendor Response (written narrative here):**				

3.1.2 Assess Needs for Next Report Date

Business Capability Description

Jury Administration assesses juror needs for the next report date for a <1-Step Qualification and Summoning Processes>.

Business Rules

BR 3.1.2-01 Estimate of Juror Needs for Next Report Date

Calculation of the estimate of juror needs for the next report date is the sum of the following:

For each judge requesting jurors (according to the schedule of cases set for jury trial), multiply the Judge 1. Go-to-Jury-Trial ratio (see BR 3.1.1-03) for the case type times the number of jurors the judge requests for that case type, times the Estimate of Jurors Requested (see **BR 3.1.1-0**2 Judicial Estimate of Jurors Requested).

2. Repeat Step 1 for each judge.

3. Add a historical "cushion" number of jurors to the calculated estimate.

4 .Example: If a judge typically requests 30 jurors for a certain case type, and the accuracy of juror request index is 1.15, the probability of going to jury trial is 75%, and the historical cushion is 20%, for this judge, the estimated number of jurors needed is 31 (30*1.15*.75*1.2).

BR 3.1.2-01 Calculate <1-Step Jury Yield>

The estimate of the number of jurors to be summoned in a 1-step qualification and summoning process, is based on the following formula/ process:

a. The <1-Step Jury Yield> is the number of prospective jurors who are available for jury service on the date summoned, divided by the number of summonses mailed, times 100 to make a percentage rate. - See Reports and Displays requirements

b. Multiply the <1-Step Jury Yield> by the number of prospective jurors on the <Master Jury List> - to determine the number in the <Venire Pool> - See Reports and Displays requirements

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.1.2-02	Comparison of Estimate of Juror Needs and Actual Numbers of Jurors Used By judge name, For a date range, the following data: a. The numbers of jurors estimated (see DN 3.1.1-05 Estimate of Juror Needs for Next Report Date), b. The numbers of jurors who checked in (see DN 3.2.1 Checked-In Jurors – Juror Check-In Flag), and c. The numbers of jurors sent to a courtroom (see **DN 3.5.4 Jurors Sent to a Courtroom**). **Vendor Response (written narrative here):**				
AC 3.1.2-01	Estimate of Jurors Needed Estimate the number of jurors needed for a trial or jury term using data collected and derived in **3.1.1 Collect Info Re: Expected Trial Needs for <1-Step Jury Yield>.** **Vendor Response (written narrative here):**				
AC 3.1.2-02	History of Jurors Available Maintain a history of numbers of prospective jurors who are available for jury service on the date summoned, and a history of the number of summonses mailed. See **DN 3.1.1-05 Estimate of Juror Needs and Actual Numbers of Jurors Used**. **Vendor Response (written narrative here):**				
DN 3.1.2	Historical Cushion Number of Jurors A number maintained by Jury Administration of the number of prospective jurors needed to ensure that there are enough jurors to meet needs of voir dire and trial. **Vendor Response (written narrative here):**				
RP 3.1.2	Previous Deferral May Affect Probability of Check-in A juror's probability of future service may be upgraded in calculations of juror yield if jurors have previously requested deferral, given the experience in many courts that jurors who have deferred into a particular date have a higher appearance rate than jurors who are reporting on the date originally summoned. **Vendor Response (written narrative here):**				

3.1.3 Identify / Select Jurors to Report from Those Already Summoned

Business Capability Description

Jury Administration identifies /selects prospective jurors to report from those already summoned.

Business Rules

BR 3.1.3-01 Random Selection of Venire Pool

Court rule or local practice requires that prospective jurors be randomly selected from the <Qualified List> for the <Venire Pool>.

BR 3.1.3-02 Notify Selected Prospective Jurors When to Report for Service

Jury administration practice may specify a time, such as no later than [time] the day before the reporting date, for informing prospective jurors of time to report.
See **BR 4.2.2-02 Use Jurors First Who Have Not Been Assigned to Panels**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.1.3-01	List of Jurors/Groups Selected to Report for Service, by Date Range **Vendor Response (written narrative here):**				
RD 3.1.3-02	List of Jurors/Groups Waved Off, by Date Range **Vendor Response (written narrative here):**				
AC 3.1.3	Select Venire Pool Select a <Venire Pool> randomly of a certain size specified by the user (using the number of prospective jurors needed on a reporting date – see **RD 3.1.1-01 List of Expected Jury Trials**). **Vendor Response (written narrative here):**				

3.1.4 Update Call-In System(s)/ Send Pre-0Service Reminders

Business Capability Description

Jury Administration updates the call-in system(s) with number ranges of prospective jurors selected to report for service (for a morning trial or an afternoon trial), and may send electronic pre-0service reminders.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.1.4	List of Venire Pool on Date of Check-In, by Range of Juror Numbers The number ranges can be used in the voice recording on the call-in number, to request jurors to report for jury service or not if their jury numbers are within the range. **Vendor Response (written narrative here):**				
AC 3.1.4-01	Publish Venire Pool List Manually Publish Venire Pool List by Check-In Date - manual option - see **RD 3.1.4-01.** **Vendor Response (written narrative here):**				
AC 3.1.4-02	Publish Venire Pool List to Website/ Jury Portal Publish Venire Pool List with Check-In Date - automated option - output to update jury website. **Vendor Response (written narrative here):**				
AC 3.1.4-03	Publish Venire Pool List to IVR Publish Venire Pool List with Check-In Date - automated option - output to update IVR system.				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 3.1.4-04	Publish Venire Pool List via Email Publish Venire Pool List with Check-In Date - automated option - assemble email addresses of jurors and generate emails. **Vendor Response (written narrative here):**				
AC 3.1.4-05	Publish Venire Pool List for Juror Phones Publish Venire Pool List with Check-In Date - automated option - output to update outbound IVR system phone messages using juror phone contact numbers. **Vendor Response (written narrative here):**				
AC 3.1.4-06	Publish Venire Pool List via Text Messages Publish Venire Pool List with Check-In Date - automated option - output to text phone messages to juror cell phone contact numbers. **Vendor Response (written narrative here):**				
DE 3.1.4-02	Data exchanges/ interfaces to: a. Jury website b. IVR c. Email system d. Telephone recording system **Vendor Response (written narrative here):**				
DN 3.1.4	Update juror notification system(s) – juror preference option list This list of options can be presented to prospective jurors in the summons, providing options for the court to contact the prospective juror and ask him/her to report at a specific date/time. A prospective juror may choose more than one of the following options: a. Juror will call the jury call-in number to check whether the juror has to report or not (default value) b. Juror will check jury website for whether the juror has to report or not c. Juror consents to receiving a phone call with the information d. Juror consents to receiving a text message with the information **Vendor Response (written narrative here):**				

3.2 Check In/Orient Jurors

3.2.1 Juror Check-In

Business Capability Description

Jury management staff check prospective jurors in when they report for jury service; identify jurors who fail to check in, and those who check in but leave. Checking jurors back into jury room from a courtroom is covered in **4.2.2 Return Unselected Jurors to Pool**.

Business Rules

BR 3.2.1-01 Juror Failure to Appear

A juror is considered FTA if the check-in flag is not marked

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.2.1-01	List of Jurors Who Failed to Appear at Check-In, by Date Range **Vendor Response (written narrative here):**				
RD 3.2.1-02	List of Jurors Who Check In but Are Absent at Voir Dire See **DN 3.4.4-01 Event Log for Individual Juror Records and for Panels** **Vendor Response (written narrative here):**				
AC 3.2.1-01	Check in Jurors Check in jurors at the location where jurors report - in jury assembly or courtroom. **Vendor Response (written narrative here):**				
AC 3.2.1-02	Scan Juror's Bar Code Scan juror's bar code upon arrival to automatically check juror in. **Vendor Response (written narrative here):**				
AC 3.2.1-03	Juror Self-0Service Check-in Juror self-0service check-in option (kiosk) to automatically check juror in. **Vendor Response (written narrative here):**				
AC 3.2.1-04	Manually Check In Juror Manually check in juror from printout and/or reprint juror summons/ badge. **Vendor Response (written narrative here):**				
AC 3.2.1-06	Juror Payment Disposition Verify whether juror wants to receive the juror fee or donate it to charity, redirect it to employer, or waive it - see **DN 2.3.2-01 Juror Payment Disposition Choices**. **Vendor Response (written narrative here):**				
AC 3.2.1-07	Juror Status Alert Manually mark prospective jurors as needed with a status: “ English Fluency Question,” “Interpreter Needed,” "Juror Failed to Appear at Check-In," “Checked-In Juror Abscond,” Americans with Disabilities (ADA)”. These data elements are needed on each (prospective) juror’s record to record the status of the juror’s record or jury service. **Vendor Response (written narrative here):**				
DN 3.2.1-01	Juror Checked in Flag This flag can be turned on automatically when the juror’s summons/ badge is scanned or when the juror self-0checks in at a kiosks, or manually in the location where jurors report for duty – by Jury Administration in the jury assembly room or by a bailiff in a courtroom. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 3.2.1-02	Interpreter Needed Flag This flag is manually turned on or off by Jury Administration or the judge upon further inquiry through interacting with the juror. If the flag is turned on, it appears on the juror list sent to the courtroom as a topic for voir dire. **Vendor Response (written narrative here):**				
DN 3.2.1-03	Juror Failed to Appear at Check-In Flag On the day of check-in for all prospective jurors, this flag is set to a default value of "not appear" and is turned off automatically at check-in. At the end of the day, jurors flagged as "not appear" can be aggregated and treated uniformly. **Vendor Response (written narrative here):**				
DN 3.2.1-04	Checked-In Juror Abscond Flag This flag is turned on by courtroom staff when a juror checks in but then leaves, and this circumstance is discovered when the juror does not report with the assigned panel for voir dire. **Vendor Response (written narrative here):**				
DN 3.2.1-05	Americans with Disabilities (ADA) Flag This flag is turned on by Jury Administration using information from the qualification/ summons process, or when the prospective juror checks in or otherwise communicates before check-in. Types of disability may include, hearing impaired, vision impaired, ASL, wheelchair, service animal, special escort, illiterate. **Vendor Response (written narrative here):**				
TI 3.2.1-01	Check-In – Juror Self-Service Kiosk Allow check-in using driver's license, credit card or any other card with name in magnetic strip, or bar code. **Vendor Response (written narrative here):**				

3.2.2 Orientation

Business Capability Description

Jury Administration conducts orientation of jurors in jury assembly room. The Clerk's Office conducts orientation of grand jurors.

Business Rules

BR 3.2.2-01 Juror Received Orientation

A juror has received orientation if the "Received Orientation" flag is marked.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.2.2-01	Grand Juror Attended Orientation Report For a reporting date range, show grand jurors who attended orientation, with juror name, address, badge number and panel number. **Vendor Response (written narrative here):**				
AC 3.2.2-01	Flag Oriented Juror Mark juror "received orientation" for petit jurors and grand jurors. See **DN 3.2.2-01 Juror Received Orientation Flag**. **Vendor Response (written narrative here):**				
AC 3.2.2-02	Juror Oriented Notification System notifies user if juror has received orientation – See **BR 3.2.2-01**. **Vendor Response (written narrative here):**				
DN 3.2.2-01	Juror Received Orientation Flag This flag is manually turned on at check-in when Jury Administration directs the juror to the orientation presentation. If the bailiff or judge conducts orientation, courtroom staff will manually turn on the flag. **Vendor Response (written narrative here):**				

3.2.3 Notify/ Sanction Prospective Jurors Who Fail to Appear (FTA) for Service or Abscond

Business Capability Description

Jury Administration notifies/ sanctions jurors who fail to check in, and those who check in but leave (abscond).

Business Rules

See **BR 2.2.6-01 Non-Responding Juror Notification/ Sanction**

See **RD 2.2.6-01 List and Number of Prospective Jurors Mailed a Second Notice/Summons for a Given Date Range**

See **RD 2.2.6-02 List and Number of Prospective Jurors Sent an OSC Notice for a Given Date Range – send Request to Court for Issuance of OSC Notice**

See **RD 2.2.6-03 List and Number of Prospective Jurors for Whom a Bench Warrant/Body Attachment Was Issued for Failure to Appear at OSC Hearing – send Request to Court for Issuance of Bench Warrant/Body Attachment**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.2.3	Issue Bench Warrant Issue bench warrant for prospective jurors marked as “Juror Failed to Appear at Check-In” (**DN 3.2.1-05 Juror Failed to Appear at Check-In Flag**) and those marked as “Checked-In Juror Abscond” (**DN 3.2.1-06 Checked-In Juror Abscond Flag**). See **DE 2.2.6-01 Data of Prospective Jurors to be Issued an OSC Notice for a**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Given Date Range See **DE 2.2.6-02 Data of Prospective Jurors to be Issued a Bench Warrant/Body Attachment** **Vendor Response (written narrative here):**				
Data Needs	See **DN 2.2.6-01 First Time FTA for Jury Service Flag** See **DN 2.2.6-02 Second or More Times FTA for Jury Service Flag** See **DN 2.2.6-03 FTA Flag** **Vendor Response (written narrative here):**				

3.3 Process Hardships

3.3.1 Hardship – Check Out If Reported and Checked In

Business Capability Description

Jury Administration checks jurors out who reported and checked in, but have a hardship.

Business Rules

BR 3.3.1-01 Authority to Excuse/Defer Jurors

Jury staff/ bailiff have authorization to excuse/defer jurors on the day of service under certain judge-0determined circumstances: [Local court rule or local practice criteria authorizing jury staff or bailiff to excuse/defer jurors]

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.3.1-01	List of Jurors Checked In and then Checked Out, by Date Range **Vendor Response (written narrative here):**				
AC 3.3.1-01	Check juror out after check-in for reason of hardship (by Jury Administration, bailiff) using DN 3.3.1-01 Juror Checked Out Flag. **Vendor Response (written narrative here):**				
DN 3.3.1-01	Juror Checked Out Flag This flag is used to check jurors out after they have checked in. **Vendor Response (written narrative here):**				

3.3.2 Hardship – Indicate Ineligibility for Payment

Business Capability Description

Jury Administration indicates ineligibility of prospective jurors for payment.

Business Rules

BR 3.3.2-01 Juror Ineligible for Payment

A juror who appears for jury service is ineligible for payment if the "ineligible for payment" flag is turned on by Jury Administration according to local policy, such as after checking in for jury service but later checking out.

BR 3.3.2-02 Juror Deferred for Future Jury duty

A juror deferred for future jury service is ineligible for payment if deferred on the date of check-in

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.3.2	Verify Matching Status of Checked Out and Ineligible for Payment, by Date Range **Vendor Response (written narrative here):**				
AC 3.3.2	Automatically mark juror "ineligible for payment" (BR 3.3.2-01) if juror has been checked out **(DN 3.3.1-01 Juror Checked Out Flag)**. **Vendor Response (written narrative here):**				
DN 3.3.2	Process hardships – Juror ineligible for payment flag This flag is turned on by Jury Administration after check-in at orientation if the juror later leaves because of the hardship of jury service. The flag being turned on blocks payment being generated for the juror. **Vendor Response (written narrative here):**				

3.3.3 Hardship – Defer to Future Date At Check-In

Business Capability Description

Jury Administration defers prospective juror to jury service at future date during check-in when the juror's hardship is acknowledged by Jury Administration.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.3.3	Verify Matching Status of Checked Out and Deferred to Future Jury duty, by Date Range **Vendor Response (written narrative here):**				
AC 3.3.3	Mark juror "deferred to future date" specifying a certain term of future service. **Vendor Response (written narrative here):**				
DN 3.3.3	Deferred to Future Jury Service Flag (also see 2.2.4) This flag is turned on by Jury Administration when a juror requests a later date to serve. **Vendor Response (written narrative here):**				

3.4 Respond to Judge Request for Jurors

3.4.1 Notification to Jury Administration of Request for Jurors

Business Capability Description
Judge notifies Jury Administration by phone call, email, or online, how many jurors are needed for a case

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.4.1-01	Record the content of a phone or email request for jurors from a judge - **See DN 3.4.1-01 Judge Request for Jurors for content of notification.** **Vendor Response (written narrative here):**				
AC 3.4.1-02	Online request for jurors from a judge - **See DN 3.4.1-01 Judge Request for Jurors** for content of notification. **Vendor Response (written narrative here):**				
AC 3.4.1-03	Set a tickler to remind judges a set period before trial of their requests for jurors, and to confirm the request. **Vendor Response (written narrative here):**				
DN 3.4.1-01	**Judge Request for Jurors Notification** A Judge Request for Jurors notification will include the following items of information: a. Judge name / Court(room) b. Case number c. Case name (lead plaintiff and lead defendant) – see **DN 6.2.3 Case Number/ Bill of Indictment Link** for linking a grand jury indictment to a jury trial d. Case type or first offense charge (use NCSC Statistical Guide categories) e. Special Circumstances (Dropdown: High-profile, Multiple Defendants, Complex Civil) f. Number of jurors needed – standard panel for the case type, or special request g. "Stacking" number – 1st in line for trial, 2nd, etc. h. Backup judge available flag Yes/ No (in case more than one jury trial proceeds) i. Start date/ time of trial j. Estimated trial length (accurate to half-days) k. Estimated length of voir dire (accurate to half-days) l. Lead opposing counsel m. Whether this is a retrial and, if so, which number **Vendor Response (written narrative here):**				
DE 3.4.1-01	As an alternative to courtrooms having access to the Jury Management System to request jurors, a data exchange from the Court/Clerk CMS will notify Jury Administration of a request for jurors, using the same data fields as **DN 3.4.1-01**. **Vendor Response (written narrative here):**				

3.4.2 Create/Monitor Case

Business Capability Description
Jury Administration creates a case in the jury management system using, either by data download or data entry.

BR 3.4.2-01 Block Jurors from Panel on Retrial Case When Jurors Served in a Previous Trial
Court rule may prevent a juror who served on a case from being included in a panel for retrial of the case.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.4.2-01	**Display Jury Case Data** Display data on the jury case: a. Judge name b. Case number c. Case caption (names of parties) d. Case type e. Number of jurors requested f. Start date/ time of trial g. Lead opposing counsel h. Whether this is a retrial and, if so, which number **Vendor Response (written narrative here):**				
AC 3.4.2-01	Manual option: Entry of case data from CMS - **See DE 3.4.2 Import Case Data for Jury Trial.** **Vendor Response (written narrative here):**				
AC 3.4.2-02	Automated option: Download of case data from CMS - **See DE 3.4.2 Import Case Data for Jury Trial.** **Vendor Response (written narrative here):**				
AC 3.4.2-03	If the case is a retrial, print the list of jurors from the previous trial(s) and mark them as ineligible for assignment to a panel for the retrial. **Vendor Response (written narrative here):**				
DE 3.4.2-01	**Import Case Data for Jury Trial from CMS** When a judge requests jurors for a jury trial, the Jury Management System will obtain case data from the court case management system either via web service inquiry or master file batch update run. Items of data needed are the following: a. Judge name b. Case number c. Case caption (names of parties) d. Case type e. Start date/ time of trial f. Lead opposing counsel **Vendor Response (written narrative here):**				

3.4.3 Shared Pool -- Randomly Select Prospective Jurors for Empanelment

Business Capability Description
Jury Administration selects a panel of prospective jurors from the <Venire Pool> from jurors who have checked in, assigns a unique panel identifier to the panel, and updates juror records with the panel identifier. The <Venire Pool> may be shared among several courtrooms holding jury trials.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.4.3-01	Reporting Jurors Calendar Report For a date range, show a calendar view of the number of jurors scheduled on each date. **Vendor Response (written narrative here):**				
RD 3.4.3-02	List of Cases by Judge (same as **RD 2A.2.2-01**) For a date range, all cases by judge: a. Judge ID, b. Case ID, c. Case title, d. Courtroom, e. Start/end date, f. Disposition of case, g. Number of jurors sent **Vendor Response (written narrative here):**				
RD 3.4.3-02	List of Prospective Jurors by Panel Identifier For a panel number identifier, show the randomly-ordered list of jurors assigned to the panel. **Vendor Response (written narrative here):**				
RD 3.4.3-03	Numbers of Prospective Jurors/Panels Sent to Courtrooms, Jurors Left in Venire Pool, and Cases Awaiting Panels **Vendor Response (written narrative here):**				
AC 3.4.3-01	Select panels randomly with the number of jurors needed on a reporting date **(See DN 3.4.1-01 Judge Request for Jurors for number of jurors requested).** Vendor must explain the random selection process. **Vendor Response (written narrative here):**				
AC 3.4.3-02	Randomly assign prospective jurors to a panel identified with a unique number. **Vendor Response (written narrative here):**				
DN 3.4.3-01	Unique Panel Number Identifier/ Date Assign a unique panel number identifier and the date it was created **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 3.4.3-02	Current Totals of Jurors/Panels Sent to Courtrooms, Jurors Left in Venire Pool, and Cases Awaiting Panels **Vendor Response (written narrative here):**				

3.4.4 Recording of Events of Individuals and Panels in Event Log

Business Capability Description

Jury Administration records events of individuals and panels in event log, which serves as a record of events which occurred for individual jurors and for panels during jury service. This information is used in calculating juror and panel utilization.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.4.4-01	For individual jurors, automatically record date/ time in an event log, recording individual activities in which an individual is involved, based on data entered when an event occurs, or manually record the event: a. Juror check-in, b. Juror selected for panel (unique panel number), c. Juror selected for jury, d. Juror released from further service, e. Juror returned to venire pool, f. Juror's end of service for the day, g. Repeat items 'e' and 'f' multiple times. **Vendor Response (written narrative here):**				
DN 3.4.4	Event Log for Individual Juror Records and for Panels Event and date/ time data for recording the status of each prospective juror may be entered manually by Jury Administration or by the bailiff in the courtroom, or automatically updated when an event occurs for a prospective juror and for a panel, using the following statuses. For a prospective juror: a. Juror check-in (marking the beginning of attendance), b. Juror selected for panel (using a unique panel number), c. Juror selected for jury, d. Juror released from further service, e. Juror returned to venire pool, f. Juror's end of service for the day, g. Juror returns for multi-day trial, For a panel, using **DN 3.4.3-02 Unique Panel Number Identifier/ Date** a. Beginning of voir dire for panel, b. End of voir dire for panel c. Jurors sworn for case d. Sworn jurors end service for the day e. Sworn jurors begin service on subsequent day f. Sworn jurors end service on subsequent day				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	g. Repeat 'e' and 'f' multiple times For panels, see **DN 3.4.3 or DN 2.1.3 Unique Panel Number Identifier** **Vendor Response (written narrative here):**				

3.4.5 Prepare Materials to Go with Panel

Business Capability Description

For a given unique panel number identifier, Jury Administration prints materials associated with the panel to go with the panel to the courtroom

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.4.5	**Printed Materials to Go with Panel** The following kinds of printed materials are used by the attorneys and judge to manage voir dire for **DN 3.4.3 or DN 2.1.3 Unique Panel Number Identifier/ Date**: a. Case Cover Sheet aka Case Information Sheet b. Randomized list of jurors in the panel c. Alphabetical list of jurors in the panel d. Seating chart e. Voir dire information (juror profiles **Vendor Response (written narrative here):**				
AC 3.4.5-01	Generate printed materials for a jury panel - **See RD 3.4.5 Printed Materials to Go with Panel.** **Vendor Response (written narrative here):**				
AC 3.4.5-02	Suppress data (names, addresses) from printed materials going with the panel (i.e., anonymous juries). **Vendor Response (written narrative here):**				

3.5 Record Days/Hours of Service

3.5.1 Profile How Jurors Are Used During the Day

Business Capability Description

Jury Administration develops profiles of how jurors are used during the day.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.5.1-01	Juror Use Profiles – Individual and Aggregate A juror use profile will be generated for each juror's jury service during the term of jury service, based on the kinds and durations of events recorded in the log for the juror. Individual juror use profiles will be aggregated to show the kinds and durations of jurors during a date range. Durations of activities will be calculated from date/time stamps in the event log. The types of events recorded and the types of durations calculated include the following (see **DN 3.4.4 Event Log for Individual Juror Records and for Panels**): a. Juror check-in b. Juror selected for panel – orientation and wait time to be selected for panel c. How many times during the term of service a juror was selected for a panel d. Whether the juror checked in but absconded (see **DN 3.2.1-06 Checked-In Juror Abscond Flag**) e. Beginning of voir dire for panel – wait time from being selected to beginning of voir dire f. End of voir dire for panel – duration of voir dire g. Juror selected for jury – wait time from end of voir dire to jury selection h. Juror released from further service – duration of service from check-in i. Juror returned to venire pool – duration until selected for another panel or released j. Juror's end of service for the day – duration of service from check-in k. Juror returns for multi-day trial (using event types 1 and 8) – duration of service over more than one day **Vendor Response (written narrative here):**				
RD 3.5.1-02	**Panel Profiles – Individual and Aggregate** A panel profile will be generated for each panel during a date range, using data in the event log. Panel profiles will be aggregated to show the kinds and durations of jurors during the date range. The types of events recorded and the types of durations calculated include the following: a. List and number of panels sent for voir dire on a given day in the date range, showing unique panel numbers b. Duration of voir dire of a panel c. Disposition of the case, i.e. whether jurors were sworn d. Number of prospective jurors per panel (including additional prospective jurors sent) e. Number of sworn jurors **Vendor Response (written narrative here):**				
AC 3.5.1-01	Generate profile of juror and panel activities during jury service - See **RD 3.5.1-01 Juror Use Profiles and RD 3.5.1-02 Panel Profiles.** **Vendor Response (written narrative here):**				
DN 3.5.1-01	**Juror Use Profile - Individual** Set up data fields and calculations for the kinds and durations of events recorded				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	in **DN 3.4.4 Event Log for Individual Juror Records and for Panels.** a. Juror check-in b. Juror selected for panel – orientation and wait time to be selected for panel c. How many times during the term of service a juror was selected for a panel d. Whether the juror checked in but absconded (see **DN 3.2.1-06 Checked-In Juror Abscond Flag**) e. Beginning of voir dire for panel – wait time from being selected to beginning of voir dire f. End of voir dire for panel – duration of voir dire g. Juror selected for jury – wait time from end of voir dire to jury selection h. Juror released from further service – duration of service from check-in i. Juror returned to venire pool – duration until selected for another panel or released j. Juror's end of service for the day – duration of service from check-in k. Juror returns for multi-day trial (using event types 1 and 8) – duration of service over more than one day **Vendor Response (written narrative here):**				

3.5.2 Determine Compensation According to Court Policy

Business Capability Description

Jury Administration determines compensation according to court policy. Jurors who checked in but absconded are identified for receiving no pay.

Business Rules

BR 3.5.2-01 Calculation of Days of Jury Service

Court policy provides compensation for jury service based on the number of half days or whole days.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 3.5.2	Record Days of Jury Service Record half-day or whole days of jury service. **Vendor Response (written narrative here):**				
DN 3.5.2-01	See **DN 3.5.1 Juror Use Profile - Individual** and **DN 3.4.4 Event Log for Individual Juror Records and for Panels**. **Vendor Response (written narrative here):**				

3.5.3 Calculate Juror Utilization in the Venire Pool

Business Capability Description

Jury Administration tracks utilization of jurors in the venire pool.

Business Rules

BR 3.5.3 Definition of Juror "Usage"

Court rule or Jury Administration practice may specify juror "usage: Court does not use jurors for more than one trial; If selected, their service is completed; we will recycle those not chosen, if necessary.

a. Alternative #1: A juror is considered "used" when the juror is selected for one or more panels during the term of jury service, and should not be double-0counted

b. Alternative #2: A juror who is selected for more than one panel during the term of jury service can achieve juror utilization above 100%.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 3.5.3-01	Juror Utilization by Jury Pool Report For a date range, juror utilization expressed as a percentage the number of jurors "used" to select juries as a proportion of the available jury pool who are told to report for jury service during that time, and actually check in. **Vendor Response (written narrative here):**				
RD 3.5.3-02	Juror Utilization by Process Step Report For a date range, the numbers of prospective jurors assigned to a panel and sent to a courtroom, and the numbers of prospective jurors where one or more of the following outcomes occurs: a. Questioned in voir dire (number and percentage) Selected as a trial juror or alternate (number and percentage) Removed for cause (number and percentage) Removed by peremptory challenge (number and percentage) Excused for hardship in the courtroom (number and percentage) Not-0reached jurors (number and percentage) Not updated (this is the default value – status is updated based on use during jury selection) **Vendor Response (written narrative here):**				
RD 3.5.3-03	**Juror Utilization by Case/Panel** For a date range, totals in the followings case categories: a. Canceled days b. Zero days (jurors brought to court but not used) c. Number of panels sent to a courtroom d. Percent of jurors used in jury selection e. Cases tried f. Cases settled or pled when jurors go to a courtroom but are not sworn g. Cases settled or pled after jurors are sworn h. Cases continued i. Jury waived j. Median/mean duration of jurors "sitting in the pool" i.e., the sum of the following: • Duration from check-in until selected for panel • Duration from juror returned to venire pool until selected for another panel (may be multiple times) or until end of service for the day				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	Vendor Response (written narrative here):				
AC 3.5.3	Calculate juror utilization for a date range, using the event log for individual activities and panel activities in which an individual is involved - **see RD 3.5.1 Juror Use Profiles – Individual and Aggregate.** **Vendor Response (written narrative here):**				
Data Needs	See **RD 3.5.3-01 Juror Utilization by Juror Usage Type** for juror usage types, **RD 3.5.3-02 Juror Utilization by Case/Panel** for juror utilization types by case/panel, and **RD 3.5.3-03 Juror Utilization for Pool** for juror utilization for the venire pool. **Vendor Response (written narrative here):**				

4. Manage Case Jurors

4.1 Record Utilization

4.1.1 Record Utilization of Panel

Business Capability Description

Jury Administration or bailiff records the status of prospective jurors during and after voir dire, reflecting panel and individual juror activity. This is used to measure juror utilization.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.1.1-01	Panel Activity also see **RD 3.5.3-02 Juror Utilization by Case/Panel** a. For a date range, list of panels sent, panel utilization, disposition of cases b. Number of jurors by panel and overall, case type, and judge. **Vendor Response (written narrative here):**				
RD 4.1.1-02	**Case Juror Activity** For a date range, the number of panels (voir dire proceedings) that jurors participated in, e.g., ranging from zero to ten. Mean and median number of days that jurors reported **Vendor Response (written narrative here):**				
RD 4.1.1-03	Case Sworn Juror List Lists only sworn jurors/alternates on a case, without addresses and phone numbers. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.1.1-04	Message to Jury Administration that Voir Dire is Completed **Vendor Response (written narrative here):**				
AC 4.1.1-01	Record attendance at multi-day trials. [COVERED IN 3.5.1]. **Vendor Response (written narrative here):**				
AC 4.1.1-02	Record disposition of jurors examined in voir dire (current status): a. Sworn juror/alternate, b. Excused for cause, c. Not reached/not used; d. Not updated (no information catch-0all) **Vendor Response (written narrative here):**				
AC 4.1.1-03	Alert Jury Administration of disposition of the panel, and provide choices of message back to courtroom about remaining prospective jurors (the need for jurors for other trials in the courthouse, and the supply of jurors in jury assembly). **Vendor Response (written narrative here):**				
DN 4.1.1-01	**Juror Utilization Codes** Jury administration or bailiff records the status of jurors using the following codes: a. Record attendance at multi-day trials. [COVERED IN 3.4.4 and 3.5.1] b. Record disposition of jurors examined in voir dire (current status): 1) Sworn juror/alternate, 2) Excused for cause, 3) Not reached/not used; 4) Not updated (no information catch-0all) **Vendor Response (written narrative here):**				

4.1.2 Fail to Complete Jury Service

Business Capability Description

Based on information provided by jury management, the judge imposes sanctions on jurors who fail to complete jury service

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.1.2-01	Jurors Failing to Complete Jury Service Report For a date range show the jurors flagged as "checked in but absconding" – see **DN 3.2.1-06 Checked-In Juror Abscond Flag** **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.1.2-01	Print **RD 4.1.2 Jurors Failing to Complete Jury Service Report** for judicial action. **Vendor Response (written narrative here):**				

4.2 Process Prospective Jurors from Panel

4.2.1 Determine What to Do with Remaining Jurors after Voir Dire

Business Capability Description

Jury Administration receives message from a courtroom that voir dire is completed or if a case settles or continues, and enters a message about further need for jurors in other cases, and sends the notification to the courtroom

Process Activities

Two-0way workflow notifications between courtroom and Jury Administration

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 4.2.1-01	Message to Courtroom about Where to Send Remaining Jurors **Vendor Response (written narrative here):**				
RD 4.2.1-02	Cases Awaiting Voir Dire and Cases in Voir Dire, and the Supply of Prospective Jurors in Jury Assembly **Vendor Response (written narrative here):**				
AC 4.2.1-01	Display cases awaiting voir dire and cases in voir dire, and the supply of prospective jurors in jury assembly. **Vendor Response (written narrative here):**				
AC 4.2.1-02	Courtroom staff notifies Jury Administration about completion of voir dire, and the number of prospective jurors remaining after voir dire. **Vendor Response (written narrative here):**				
AC 4.2.1-03	Jury administration responds with notification to the courtroom about whether to send prospective jurors back to jury assembly or to release them. **Vendor Response (written narrative here):**				
DN 4.2.1-01	See **DN 3.4.4 Event Log for Individual Juror Records and for Panels** **Vendor Response (written narrative here):**				

4.2.2 Return Unselected Jurors to Pool

Business Capability Description

If court rule allows unselected jurors to return to the **<Venire Pool>**, Jury Administration may request that prospective jurors return for further service, and courtroom staff mark their records accordingly as they check back into the Jury Assembly Room (prevents jurors from "getting lost" on their way back).

Business Rules

BR 4.2.2-01 Reuse Unselected Jurors after Voir Dire

Court policy may provide that unselected jurors after voir dire are subject to further jury service during the term.

BR 4.2.2-02 Use Jurors First Who Have Not Been Assigned to Panels

Court rule or Jury Administration practice may provide that prospective jurors who have not been assigned to a panel be selected before prospective jurors who have been selected for a panel and have been returned to the <Venire Pool>.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.2.2	Courtroom staff marks unselected prospective jurors returning to jury assembly as available for other panels that day or within the term, or marks prospective jurors as excused from further service. **Vendor Response (written narrative here):**				
DN 4.2.2	Reuse Unselected Jurors after Voir Dire flag The flag is marked "Returned" or "Excused" upon instructions from Jury Administration. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 4.3.1-01	Automatically mark sworn jurors as released from further service. **Vendor Response (written narrative here):**				
AC 4.3.1-02	Courtroom staff marks the disposition of the case. **Vendor Response (written narrative here):**				

4.3 Process Sworn Jurors after Trial

4.3.1 Further Service of Sworn Jurors Depends on Court Policy

Business Capability Description

Court rule may release sworn jurors after serving in one trial, or it may put them back into the venire pool.

4.3.2 Determine What to Do with Remaining Jurors after Voir Dire– SAME AS 4.2.1

4.3.3 Return Unselected Jurors to Pool – SAME AS 4.2.2

5 Close Out Juror Service

5.1 Generate Certificate for Completed Service

5.1.1 Generate Certificate for Completed Service

Business Capability Description

Generate certificate for eligible juror and save the certificate on the juror's record

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.1.1	Jury Service Certificate Generate a jury service document (i.e. excusal from work) which includes name, juror ID, date(s) of service, A.M. and/or P.M. service, date of certificate generation. **Vendor Response (written narrative here):**				

5.1.2 Request for Certificate

Business Capability Description

Juror makes a request for jury certificate, with the option of showing hours of service

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.1.2-01	Record in-0person request for certificate. **Vendor Response (written narrative here):**				
AC 5.1.2-02	Record online request for certificate with proof of juror ID and DOB. **Vendor Response (written narrative here):**				
AC 5.1.2-03	Record telephone request for certificate with proof of juror ID and DOB. **Vendor Response (written narrative here):**				
DN 5.1.2-01	Certificate Request Flag Court administration turns on the flag when a juror requests a certificate during check-in. **Vendor Response (written narrative here):**				

5.2 Pay/Reimburse Jurors

5.2.1 Pay Directly to Juror Pursuant to Court Rules

Business Capability Description

Jury Administration determines amount of compensation and reimbursement for a juror, and transmits the payment request to the appropriate or requested method of payment.

Business Rules

BR 5.2.1-01 Amount of Juror Compensation

Court policy provides that jurors are to be paid a daily rate of $___ (configurable) for the computed days of service – See BR 3.5.2-01 Calculation of Days of Jury Service. The rate of pay increases for multiple days.

BR 5.2.1-02 Juror Payment Schedule

Juror payroll must be run at least once per week (on Friday).

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.1-01	Juror Payment Management Report For a date range, the numbers and amounts of juror payments by category: a. Juror fees b. Breakdown of numbers and amounts by method of payment: i. Checks to jurors ii. Checks to Administration of Justice Fund **Vendor Response (written narrative here):**				
AC 5.2.1-01	Determine amount of jury fee due - **see BR 5.2.1-01 Calculation of Days of Jury duty**, rate of pay and additional amounts, if any, per court policy, eliminating jurors who checked in but absconded (**DN 3.2.1-06 Checked-In Juror Abscond Flag**). **Vendor Response (written narrative here):**				
AC 5.2.1-02	Verify/ modify juror's choice via drop-0down list of choices for juror payment disposition (see **DN 2.2.2-01 Juror Payment Disposition Choices**: a. Pay juror directly b. Contribute to Administration of Justice Fund **Vendor Response (written narrative here):**				
AC 5.2.1-03	**Send electronic file of juror payments for generation of checks -** see DE 5.2.1-01 Pay Juror by Check**.** **Vendor Response (written narrative here):**				
DE 5.2.1-01	Pay Juror by Check Electronic file to check-writer module/ system includes person name, address, amount, number of days, date of transmission. **Vendor Response (written narrative here):**				
DE 5.2.1-02	Notify CMS of Jury Costs Notification to CMS of the jury costs in the case. May be an email to the clerk, or a data exchange. **Vendor Response (written narrative here):**				
DN 5.2.1	Juror Payments by Category The amounts of juror payments with name, date and generated transaction ID, by category of payment: a. Juror fees b. Breakdown of numbers and amounts by method of payment:				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	• Checks to jurors • Checks to Administration of Justice Fund **Vendor Response (written narrative here):**				

5.2.2 Process Donations

Business Capability Description

Court policy allows donation of a juror fee to the Administration of Justice Fund.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.2.2-01	Donations Report For a date range list the donations of juror fees. **Vendor Response (written narrative here):**				
AC 5.2.2-01	Generate receipt on demand for donated juror fee. **Vendor Response (written narrative here):**				

5.3 Post-Service

5.3.1 Exit Surveys after Service

Business Capability Description

Jury Administration conducts online and paper exit surveys of prospective and sworn jurors after service, loads survey results into tables, and reports results to Jury Administration and judges.

Business Rules

BR 5.3.1 Delete Individual Exit Surveys Data

Court policy may provide that individual survey data be deleted periodically (monthly, quarterly, annually). (Aggregate data will be maintained.)

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 5.3.1	Juror Exit Survey Summary For a date range, aggregate exit survey responses by categories of jury service that jurors experienced, and show number of responses, and the mean and median score of responses in each category. **Vendor Response (written narrative here):**				
AC 5.3.1-01	Generate an exit survey after jury service is completed, customized with questions addressing the events experienced by the juror - See **RD 3.5.2 Juror Use Profiles**. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 5.3.1-01	Select type of service for survey -- e.g., sworn, served but not sworn – and generate an email notifying the jurors selected that an online survey is available (if juror record has juror email address). **Vendor Response (written narrative here):**				
AC 5.3.1-02	Provide access to exit survey at login after entry of juror ID number and DOB. **Vendor Response (written narrative here):**				
AC 5.3.1-03	Automatically remove juror exit surveys from the website one week after completion of jury service, and save data from completed surveys. **Vendor Response (written narrative here):**				
AC 5.3.1-04	Load survey responses into tables – **see DN 5.3.1-02 Exit Survey Response Tables**. **Vendor Response (written narrative here):**				
AC 5.3.1-05	Generate **RD 5.3.1 Juror Exit Survey Summary** on demand. **Vendor Response (written narrative here):**				
AC 5.3.1-06	Delete individual survey response data periodically, according to court rule. **Vendor Response (written narrative here):**				
DE 5.3.1-01	Public access portal for responding to online survey Email interface to send jurors the survey or link to the survey **Vendor Response (written narrative here):**				
DE 5.3.1-02	Interface with Email to Send Exit Survey or Link to Jurors **Vendor Response (written narrative here):**				
DN 5.3.1-01	Exit Survey Generation Tables Jury administration will select questions for the survey using events in **RD 3.5.2 Juror Use Profiles** to generate the exit survey. **Vendor Response (written narrative here):**				
DN 5.3.1-02	Exit Survey Response Tables Exit survey responses will be loaded into tables for generation of **RD 5.3.1 Juror Exit Survey Summary** **Vendor Response (written narrative here):**				

6. Assess Performance

6.1 Measure

6.1.1 Yield (Qualification and Summoning)

Business Capability Description

Jury Administration produces statistical reporting for juror yield at qualification and summoning.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.1.1-01	For a date range produce qualification and summoning yield reports on demand. **Vendor Response (written narrative here):**				
RD 6.1.1-02	For 1-Step Summon/Qualify, See Report/ Display Needs in **2.3 Calculate and Display Jury Yield (Summoning Yield)** See Report/ Display Needs in 3.1.2 Assess Needs for Next Report Date **Vendor Response (written narrative here):**				

6.1.2 Accuracy of Estimates

Business Capability Description

Produce statistical reporting for accuracy of estimates

See Report/ Display Needs in **3.1.1 Collect Info Re: Expected Trial Needs**

See Report/ Display Needs in **3.1.2 Assess Needs for Next Report Date**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.1.2-01	For a date range produce accuracy of estimate report on demand. **Vendor Response (written narrative here):**				

6.1.3 Costs

Business Capability Description

Jury Administration produces statistical reporting to analyze costs of jury management.

See **RD 5.3.4-01 Juror Payments by Case**

See **RD 5.3.4-02 Payment History Recap**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.1.3-01	Term of Service For a date range, show a list of jurors who served, with the term of service, sorted in alphabetical, date or length of service order. a. One Day or One Trial b. Two to five days				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	c. Six days to one month d. Greater than one month to six months e. Longer than six months **Vendor Response (written narrative here):**				
RD 6.1.3-02	Costs of Jury Administration For a date range show a list of costs entered (see **DN 6.1.3-01 Cost Event Log**), itemized and aggregated by type of cost. See **RD 5.2.1 Juror Payment Management Report** for breakdown of juror payment types. **Vendor Response (written narrative here):**				
AC 6.1.3-01	For a date range produce cost analysis of jury management on demand. **Vendor Response (written narrative here):**				
DN 6.1.3	**Cost Event Log** The cost event log is a table of payment transactions with a date the expense was incurred, description, amount, and generated transaction ID. Jury administration will enter transactions for which Jury Administration is charged for goods and services, either Out-of-pocket or charged by the local unit of government, including the following kinds of items: a. Juror payments – see RD 5.2.1 Juror Payment Management Report b. Postage for mailing summonses, and letters c. Cost of master list NCOA processing – see DE 1.1.3-01 Send Master List for NCOA Processes d. Cost of master list CASS processing – see DE 1.1.3-02 Send Master List for CASS Processes e. Cost of third-0party mail service – see DE 1.2.2-01 Send to Third-0Party Mail Service and DE 2.1.3 Send to Third-0Party Mail Service f. Cost of address validation/ correction service – see DE 2.2.1 Send to Address Validation/ Correction Service g. Cost of printing consumables for which Jury Administration is charged **Vendor Response (written narrative here):**				

6.1.4 Utilization

Business Capability Description

Jury Administration produces statistical reporting for analyzing juror utilization.

See **3.5.3 Calculate Juror Utilization in the Venire Pool**

See **4.1.1 Record Utilization of Panel**

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
AC 6.1.4-01	For a date range produce jury utilization analysis on demand. **Vendor Response (written narrative here):**				

6.1.6 Time at Trial (A.M. and/or P.M. service).

Business Capability Description

Jury Administration produces statistical reporting for analyzing juror time at trial based on half or whole days, morning and/or afternoon.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.1.6-01	**Juror Time at Trial** For a date range show a report showing, by jury (sworn jurors): a. The amount of time sworn jurors spent at trial (tracked as A.M. and/or P.M. court sessions), including multi-day trials b. The attorneys on the case c. Judge name See 3.4.4 Recording of Events of Individuals and Panels in Event Log for status of "Jurors sworn for case," including multi-day trial data. **Vendor Response (written narrative here):**				
AC 6.1.6-01	For a date range produce analysis of juror time at trial. **Vendor Response (written narrative here):**				

6.1.7 Juror Satisfaction Exit Survey – see 5.3.1 Exit Surveys after Service

Business Capability Description

Jury Administration produces statistical reporting for exit survey

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.1.7-01	See RD 5.4.1 Juror Exit Survey Summary **Vendor Response (written narrative here):**				
AC 6.1.7-01	**For a date range produce exit survey statistics.** **Vendor Response (written narrative here):**				

6.2 Reporting What is Measured

6.2.1 Public Information

Business Capability Description

Jury Administration provides public information such as juror yield and utilization for a single jurisdiction, with aggregation if there are multiple counties.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.2.1-01	CourTool Measure 8: Effective Use of Jurors Juror Yield – see **6.1.1 Yield (Available) Percentage** Juror Utilization – see **6.1.4 Utilization** **Vendor Response (written narrative here):**				
RD 6.2.1-02	Juror Gender and Race/ Ethnicity For a date range, breakdown of jurors by gender and race/ ethnicity **Vendor Response (written narrative here):**				
AC 6.2.1-01	Generate **RD 6.2.1 reports** on demand with date range parameter. **Vendor Response (written narrative here):**				
DE 6.2.1-01	Public access portal **Vendor Response (written narrative here):**				

6.2.2 Private Information - Judge, Admin Judge

Business Capability Description

Jury Administration provides information useful to judges and administrative judges on a variety of performance measures in jury management.

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.2.2-01	Jury Trials by Case Type For a date range show the number of jury trials by percentage breakdown: felony, misdemeanor, civil, other. (using jurisdiction-0specific categories) **Vendor Response (written narrative here):**				
RD 6.2.2-02	Criminal Jury Trials by Originating Charge For a date range show the number of jury trials by originating charge. **Vendor Response (written narrative here):**				
RD 6.2.2-03	Length of Voir Dire Do not track. For a date range show list of jury trials and length of voir dire, in smallest time measure increment used in the jurisdiction. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
RD 6.2.2-04	Length of Jury Trials Do not track. For a date range show list of jury trials and their length, in smallest time measure increment used in the jurisdiction. **Vendor Response (written narrative here):**				
RD 6.2.2-05	Comparison of Estimated to Actual Length of Jury Trials Do not track. See **DN 3.1.1-04 Judicial Estimate of Trial Length** **Vendor Response (written narrative here):**				
RD 6.2.2-06	Judicial History of Jurors Requested See **DN 3.1.1-02 Judicial History of Jurors Requested** This history maintains information about judges, by judge, case type and date, of (a) the number of jurors requested, and (b) the number of jurors who went through voir dire on those cases. **Vendor Response (written narrative here):**				
RD 6.2.2-07	Comparison of Estimated Juror Needs to Actual Numbers of Jurors Used See **DN 3.1.1-05 Estimate of Juror Needs and Actual Numbers of Jurors Used** a. The numbers of jurors estimated (see **DN 3.1.1-05 Estimate of Juror Needs for Next Report Date**), b. The numbers of jurors who checked in (see **DN 3.2.1 Checked-In Jurors – Juror Check-In Flag**), and c. The numbers of jurors sent to a courtroom (see **DN 3.5.4 Jurors Sent to a Courtroom**). **Vendor Response (written narrative here):**				
RD 6.2.2-08	Trial Date Certainty See **DN 3.1.1-05 Judge Go-to-Trial Ratio** **Vendor Response (written narrative here):**				
RD 6.2.2-09	Attorney Jury Trial Rate Do not track. See **DN 3.1.1-06 Attorney Go-to-Trial Ratio** **Vendor Response (written narrative here):**				
AC 6.2.2	Generate **RD 6.2.2** reports on demand with date range parameter. **Vendor Response (written narrative here):**				

6.2.3 Challenges to Fairness of the Process

Business Capability Description

Provide statistical data enabling determination of the fairness of the jury management process, applicable to both petit and grand juries Court does not currently track demographics of jurors.

Req. #	Requirement	Response Code	Estimated Hours to

		I	C	N	
RD 6.2.3-01	Juror Demographics- Pool Jurors For a date range show separately for petit and grand juries, list of pool jurors by panel and case number, showing age, race, Hispanic origin, education, income, gender, and possession of a driver's license. **Vendor Response (written narrative here):**				
RD 6.2.3-02	Juror Demographics- Reported Jurors For a date range show separately for petit and grand juries, list of all jurors by panel and case number who reported for service, showing age, race, Hispanic origin, education, income, gender, and possession of a driver's license. **Vendor Response (written narrative here):**				
RD 6.2.3-03	Case Juror Results- by Judge For a date range show separately for petit and grand juries, case level results for jurors selected on cases. **Vendor Response (written narrative here):**				
RD 6.2.3-04	Judge Trial Disposition Analysis For a date range show separately for petit and grand juries, list of trial dispositions by judge, disposition type, case type, and a total of each disposition type for the period. **Vendor Response (written narrative here):**				
RD 6.2.3-05	Juror Service End Analysis For a date range show separately for petit and grand juries, an analysis of juror service completion by type for the reporting period. **Vendor Response (written narrative here):**				
RD 6.2.3-06	Grand Jury Indictment Panel Number and Jury Trial Cases For a date range show felony jury trial cases disposed of, and the grand jury panel which initiated the case. **Vendor Response (written narrative here):**				
RD 6.2.3-07	Proof of Randomness Report It documents how prospective jurors are drawn randomly from the juror source list at each step of the process in creating the <Venire Pool>. **Vendor Response (written narrative here):**				
AC 6.2.3-01	Generate RD 6.2.3 reports on demand with date range parameter. **Vendor Response (written narrative here):**				
AC 6.2.3-02	Enable linking the Grand Jury Indictment Panel Number associated with Felony Jury Trial Cases. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
DN 6.2.3	Case Number/ Bill of Indictment Link For felonies initiated by a bill of indictment from a grand jury, Jury Administration will associate the case number with the panel which delivered the bill of indictment, using **RD 6.2.3-06 Grand Jury Indictment Panel Number and Jury Trial Cases.** **Vendor Response (written narrative here):**				

B. Demonstration Scenarios – High-Level Descriptions of Business Capabilities

A high-level description of a business capability is a scenario. A demonstration scenario is a sequence of events that Jury Administration, a judge, or courtroom staff will experience when performing a jury management function, for use during system procurement. Participant scenarios provided in an RFP will notify jury management system vendors what activities their JMS should be able to support, and will serve as a script for vendor demos and for product acceptance testing.

General Functions – Search

1. Search for a prospective juror
2. Search for a case by case number, defendant, judge, or attorney
3. History of recent searches – a shortcut to recent search results

During Summons

1. Jury staff reviews supporting documentation, if any, and records disqualification or exemption
2. Show the tools available to how Jury Administration to determine how many jurors to summon
3. Jury staff generates qualification/ summons for sending to the prospective jurors
4. Show how entry of prior jury service within the last X years, or other statutory disqualification keeps a name from being selected for the master jury list, by changing parameters
5. Demonstrate how standard qualification and summons templates can be modified
6. Demonstrate deferring a prospective juror to a future date

Check-in and Orientation

1. Document Generation: Show how to generate juror name badges and, later, certificates of service
2. Show methods available for checking in prospective jurors, and checking jurors back in when they return from a courtroom
3. Show ability to change a juror service location
4. Show ability to check a juror out due to illness or hardship
5. Show how to indicate that prospective jurors have viewed the orientation- Use for Grand Jury only.
6. Select a panel from the venire pool using random selection
7. Select additional jurors after peremptory challenges and for cause have depleted the panel

Before and During Petit Jury Voir Dire

After an attorney (or the judge) asks jury panelists a series of questions, the attorney announces a challenge or the judge rules on the disposition of a juror if needed (e.g., request to be excused)

1. Courtroom staff records the disposition of each juror (e.g., excused, struck for cause, peremptory strike, accepted)
2. Show a prospective juror selected as a juror on the case
3. Show a notification to Jury Administration that there are 20 jurors not selected for a trial, asking whether they should return to the jury assembly room, and a return notification message what should happen
4. Demonstrate after voir dire, Jury Administration checks jurors back in, and either assigns a juror to another panel or releases the juror (depending on policy and immediate need for jurors)

Post-Service

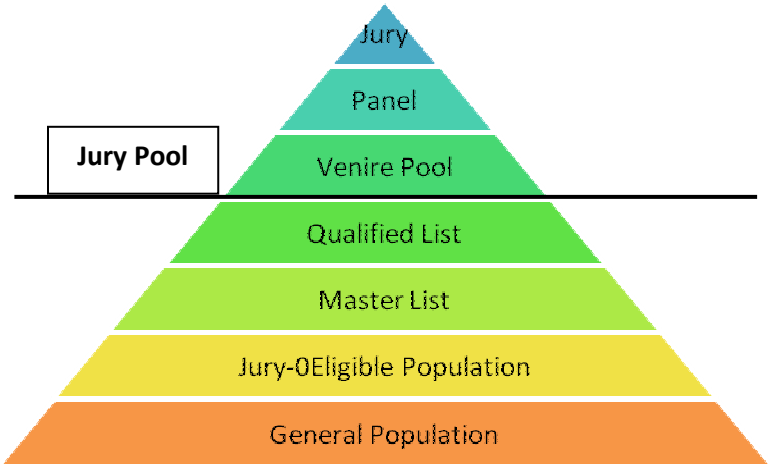
1. Show a juror fee donation process
2. Show how the rules for determining the amount of juror payment (e.g., multi-day jury trial) can be modified by the court, or be overridden

Jury Operations/ Performance

1. Demonstrate an event log for individuals and panels, and how juror use profiles are generated
2. Show the capability to display the history of juror service for an individual and for a panel.
3. Report Generation: Demonstrate your capacity to provide statistics, management reports, and ad hoc reporting capabilities (e.g., calculate and report juror costs by case, court, case-type):
    a. Juror yield
    b. Juror utilization

C. Glossary of Jury Management Terms

Summary of Steps for Prospective Jurors to Become Jurors. See individual definitions for more information. Processing the **Master List** and **Qualified List** levels together for Qualification and Summoning occur in a **1-step Qualification and Summoning Process**.



1-Step Summoning Process. The court randomly selects names from a list of prospective jurors and sends them a jury summons ordering the person to appear for jury service on a given date.

1-Step Jury Yield. The number of prospective jurors who are qualified and available for jury service on the date summoned expressed as a proportion of the number of jury summonses mailed

$$\text{Jury Yield} = \left[\frac{\text{\# qualified and available for service}}{\text{\# of summonses mailed}}\right] \times 100$$

Call-in System. A method for notifying prospective jurors whether they should report for jury service as summoned .

Deferred Service. Same as Postponement. The jury commissioner (or designated representative) may defer jury service of a prospective juror upon oral or written request, to a more convenient date. Some states permit prospective jurors to postpone their date of service one time for up to 6 months as a statutory right; subsequent deferral requests must be approved by the court. Examples include the following:

1. Temporary health problems.
2. Conflict with vacation plans.
3. Employment conflicts, such as planned trips or seasonal workload fluctuations.
4. To allow more time to arrange for child care or transportation.
5. To accommodate pre-0scheduled medical appointments.
6. Other hardships of a temporary nature.

7. A member, officer or employee of the legislature is excused from jury service while the legislature is in session.

Discharged. A prospective juror removed from a jury by the trial judge during jury service.

Disqualification. During development of the Master List through Qualification and Summons processes, prospective jurors are disqualified from jury service by statutory criteria. In most states, if a disqualified person slips through the screening process and ends up serving as a trial prospective juror, the verdict is null and void.

Excused from Service. After being summoned and before selection for a panel, prospective jurors may request to be excused from jury service for the term in which they were summoned based on physical or financial hardship, or extreme inconvenience. The court retains discretion to grant or deny the request. The jury commissioner may excuse anyone to the point of being sworn as part of a panel (both petit and grand jury); after that point only the judge can excuse a prospective juror. Documentation may be required. Examples include the following:

1. Inability to receive and evaluate information is so impaired as to make it impossible for them to act as prospective jurors.
2. Continuing, extreme hardship situation which would represent an obvious inability to serve as a prospective juror.
3. Age 70 years of age or older, who requests to be excused shall be excused without evidence of an inability to serve.
4. Previous jury service.

Exemption. Right of a prospective juror to decline to serve based on statutorily defined occupation or status. Common exemptions include political officeholders, judicial officers, public safety personnel, healthcare personnel, sole caregivers of minor children or incapacitated adults, advanced age (e.g., 70 or older), and previous jury service. An exemption is distinguished from being **Excused from Service** by the statutory right of the prospective juror to assert an exemption, rather than solely being within the discretion of the court.

Inclusiveness. Percentage of the jury-0eligible population reflected on the **Master List**. Because the percentage of the total population that is qualified for jury service is difficult to determine, most jurisdictions estimate inclusiveness based on the percentage of the adult population (age 18 and over in most states) reflected on the master list. Also see **Representativeness**.

Juror (Prospective) Profile. Information about prospective jurors routinely made available to attorneys for use during voir dire, which may include: name, date of birth, race, marital status, occupation, spouse's occupation, education, children's ages, and zip code.

Juror. A **Prospective Juror** selected after voir dire remains a juror until the case is disposed, or the juror is discharged.

Jury. A certain number of people selected according to law, and sworn to inquire of certain matters of fact (a grand jury has power to indict a person for a public offense), or to try a question of fact (a petit jury declares the truth of evidence to be laid before them). (Black's Law Dictionary, 5th Edition)

Jury Pool. All eligible prospective jurors qualified to serve under state statute. **Venire Pools** and **Panels** are drawn from the Jury Pool – see **Summary of Steps for Prospective Jurors to Become Jurors** at the beginning of this Glossary.

Master List. Names of prospective jurors on the **Source List(s)** with duplicates eliminated or marked. In some jurisdictions prospective jurors are eliminated or marked by applying a **Suppression File** containing names of prospective jurors known to be disqualified (e.g., deceased, felony conviction) or permanently **Excused from Service**.

One-Day/One-Trial. In each 12 months, prospective jurors summoned for jury service must serve only one day if they are not selected to appear in person or to hear a trial on the day they appear to serve, or, if selected for a trial, for the length of that trial.

Orientation Day. First day of a prospective juror's term of service, including sign-0in and orientation procedures. Most courts begin empanelling prospective jurors immediately after orientation.

Panel. A random list of prospective jurors selected from the **Venire Pool** (1) to serve as of a certain date, (2) to serve for a certain period ("term panel"), or (3) to go to a courtroom for **Voir Dire**.

Petit juries**.** On a trial date, a panel is assigned and assembles in a courtroom for voir dire. Prospective jurors on a panel who are not selected for a petit jury may return to the jury assembly room, to be reused or released. In some jurisdictions prospective jurors are summoned directly to a courtroom for a specific trial. Judges may select several juries from the same panel that reports to the courtroom. Courts may use a panel for the one-day/one trial concept rather than a specified term.

Grand juries**.** The panel meets on assigned dates for jury service.

Prospective Juror. A person eligible for jury service and participating in jury service, to the point that a prospective juror is selected for a jury, at which time the person becomes a **Juror**.

Postponement. See **Deferred Service**

Representativeness. The extent to which the **Master List** reflects the demographic characteristics of the jury-0eligible population of the community. Generally, the greater the **Inclusiveness** of the **Master List,** the more likely it will be representative. By definition, a **Master List** that is 100% inclusive will perfectly mirror the demographic characteristics of the jury-0eligible population.

Qualified List. Names of prospective jurors on the **Master List** with disqualified prospective jurors eliminated.

Source List. One or more files of names specified by statute, often the voter registration list and licensed drivers list (including state ID cardholders). A source list includes the name, address, date of birth or Social Security Number, and county of residence of potential prospective jurors.

Summons. Written notification to appear in court on a certain date and time for jury service. Summoned prospective jurors may seek **Deferred Service**, to be **Excused from Service**, or **Exemption**.

Suppression File. List of persons known to be disqualified from jury service, such as deceased persons and convicted felons, applied to a (combined) **Source List** to create a **Master List**. Typically suppression files include only persons whose status is unlikely to change (e.g., deceased) or are used with specific temporary or conditional qualifiers (e.g., previous jury service up to 12 months, previous summonses returned undeliverable, but only if the record reflects the same address).

Term of Jury Service. The term of service is defined by statute or court rule. Petit jury service may be one-day-0or-0one-trial, or for a defined period. Grand jury service is typically at least three months.

Venire Pool. A random list of qualified prospective jurors from the **Qualified List** selected to be summoned for jury service for a certain term of service, who have not been **Excused from Service**. **Panels** are drawn from a **Venire Pool**.

Voir Dire. The preliminary examination by the court or counsel of potential prospective jurors, where a prospective juror's qualifications, potential biases, and background, etc. may be objected to before being chosen to sit on a jury. A **Potential Juror** may seek to be **Excused from Service**.

Attachment 7: Solution Platform Non-Functional Requirements and Scenarios

1 Requirements 1
1.1 Technical Operating Environment 2
1.2 System Administration and Application Support 3
1.3 Security and Audit 4
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1.5 Document Management System and Records Management 5
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2.1 Technical Operating Environment 6
2.2 System Administration and Application Support 6
2.3 Security and Audit 6
2.4 Reporting 6
2.5 Document Management and Records Management 6

1 Requirements

Attachments 1-6 contain a section on "General High-Level Functional and Technical Requirements" applicable to that module. This **Attachment 7** contains requirements for solution platform non-functional requirements which apply to operation of all modules specified in the other Attachments. The intent is for vendors to provide a coordinated proposal for non-functional requirements to ensure that the same or similar services are provided under the same umbrella.

Business capabilities incorporate the goals and performance objectives of courts and clerks, and are broken down in further detail, in detailed business capabilities. Business rules, process activities, reports/ displays, application capabilities and data needs related to detailed business capabilities follow the numbering scheme of the business capabilities. Vendors are to respond to the requirements in the matrix.

1) Vendor Responses to Matrix of Requirements
The requirements which vendors will respond to are contained in a requirement matrix with the following format:

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
Reference Number	Title of Requirement Description of Requirement **Vendor Response (written narrative here):**				

Legend of Response Codes:

- I = Included
- C = Must Customize to meet requirement – and estimated hours to customize
- N = Not Supported (not willing or able to customize)

1.1 Technical Operating Environment

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
1.1-01	The proposed solution must support virtualization, and Include a multi-tier architecture: 1. Front End: Web-based using standard browser 2. Middleware such as IIS or Tomcat -- Distributed where required (e.g. multi-site facilities) 3. Database: ODBC-compliant relational database (SQL Server preferred) **Vendor Response (written narrative here):**				
1.1-02	Support deployment on mirrored servers. **Vendor Response (written narrative here):**				
1.1-03	Provide a backup system that allows backup of the system and databases without interfering with operations, as well as restoration of the system and databases in the event of system or database failure. The backup shall have the following characteristics: 1. Central backup for all modules proposed 2. Disk-based (not tape, not cloud) 3. Virtual machine support 4. Database support to match the proposed module solutions **Vendor Response (written narrative here):**				
1.1-04	Describe how you will perform a Disaster Recovery/Business Continuity exercise to demonstrate the DRPs have been correctly implemented and are operational. Please provide an actual or hypothetical example. **Vendor Response (written narrative here):**				
1.1-05	Enable secure remote administration as well as on-site administration. The administration functions must include at a minimum: 1. User account and password management, 2. System security management, 3. System log review and maintenance, 4. System report management, 5. Notification management, 6. Software threshold parameter management, and 7. System and database backup initiation. **Vendor Response (written narrative here):**				
1.1-06	Maintain a historical record of all changes made to the system's components. It must ensure that system error and events for software, hardware, interfaces, operating system, and network are written to a system event log accessible and searchable by a system administrator. **Vendor Response (written narrative here):**				
1.1-07	Provide a Microsoft DQS-like capability to support building a knowledge base to perform a variety of critical data quality tasks. Tasks include correction, enrichment, standardization, and de-duplication of data. Some reference data would be standardized and possibly cloud-based and maintained by reference				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
	data providers. Profiling would be integrated into data-quality tasks, enabling analysis of data integrity. **Vendor Response (written narrative here):**				
1.1-08	Describe the network infrastructure that must be in place to achieve optimum end-to-end system performance. **Vendor Response (written narrative here):**				
1.1-09	Module Integration and Data Exchange 1. Support both Web Services and FTP protocols unless partners do not support one of these 2. Use secure transport connection protocols (TLS and/or SSL) 3. Automated data exchanges with external justice partners undergo authentication and authorization processing 4. Support logging of all data exchange payloads to facilitate troubleshooting integration issues 5. Support a configurable option to route data exchange messages to single or multiple partners 6. Support inclusion of documents as attachments were applicable 7. Support replay/ retry processing to allow for message delivery if a transitory error is triggered 8. Provide XML-based message format unless a specific partner does not support XML 9. Conform to established justice data model standards such as ECF and NIEM where applicable **Vendor Response (written narrative here):**				
1.1-10	Access to Database by External Applications Allow insertion of data into existing data fields in one module of the CMS by other CMS modules or through other methods authorized by IT. **Vendor Response (written narrative here):**				

1.2 System Administration and Application Support

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
1.2-01	Describe configuring user group roles with permissions to view, add, edit, and/or delete the following within each case-type: a) Case and person records b) Standardized reports and queries c) Templates for form letters/notices/orders d) Code table records e) Business and workflow rules f) Case notes (and permission to designate them as private or shared with other designated user groups) **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
1.2-02	Define how custom modifications are accepted, reviewed, demonstrated, tested, and incorporated into the releases. **Vendor Response (written narrative here):**				
1.2-03	Describe the user and administrator help systems. **Vendor Response (written narrative here):**				
1.2-04	Describe how user accounts will be administered. **Vendor Response (written narrative here):**				
1.2-05	Describe the solution's ability to identify "brute force" attacks and automatic disabling of accounts. **Vendor Response (written narrative here):**				

1.3 Security and Audit

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
1.3-01	Describe whether and how the proposed modules provide system single sign-on capability. **Vendor Response (written narrative here):**				
1.3-02	Describe how the proposed modules support multi-agency levels of cooperation regarding access to cases and access to case- and person- data. **Vendor Response (written narrative here):**				
1.3-03	Describe how the proposed modules support protection of HIPAA data. **Vendor Response (written narrative here):**				
1.3-04	Describe system-wide optional logging and audit trails that can be turned on and turned off, to log the creation, modification and deletion of records to include, at a minimum, the following information: 1. User ID 2. Station ID 3. Time stamp **Vendor Response (written narrative here):**				
1.3-05	Maintain, and provide the ability to display or print, the audit trail of file additions, modifications, corrections, and deletions, including who made the entry, when the entry was made, and whether the date entered and date filed differ. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
1.3-06	Allow re-creation of statistical /financial information for any point in time through all database elements being date- and time-stamped **Vendor Response (written narrative here):**				

1.4 Reporting

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
1.4-01	Provide throttles, thresholds or other measures to ensure that ad-hoc reporting and advanced searches do not return so many results as to negatively affect system performance. **Vendor Response (written narrative here):**				
1.4-02	Describe, with screen shots if available, the capabilities for monitoring work queues, and shifting work to other workers that has fallen behind time standards for completion. **Vendor Response (written narrative here):**				
1.4-03	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. Court leaders may want to view CourTools measures; other staff may be more interested in performance metrics for their own organizational units. **Vendor Response (written narrative here):**				

1.5 Document Management System and Records Management

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
1.5-01	Support a single document management system for all modules. **Vendor Response (written narrative here):**				
1.5-02	Provide for electronic documents: a) Annotation b) Versioning c) Access only through the CMS, to enforce security roles **Vendor Response (written narrative here):**				
1.5-03	Purging old completed cases Support purging of old completed cases and provide tools to identify them. **Vendor Response (written narrative here):**				

Req. #	Requirement	Response Code			Estimated Hours to Customize
		I	C	N	
1.5-09	Archival database Archive old cases into separate database and allow the reactivation of those cases by pulling them back into the live database. **Vendor Response (written narrative here):**				

2 Scenarios

2.1 Technical Operating Environment

1. Demonstrate remote administration capabilities
2. Demonstrate the integration engine or other tools for creating interfaces and sharing data with other applications and agencies.
    a. Inbound – Booking/ intake information from the jail for court case initiation
    b. Outbound – Notice of sentencing to a period of probation

2.2 System Administration and Application Support

1. Demonstrate configuration of user group roles with access to case types, person records
2. Demonstrate user account maintenance

2.3 Security and Audit

1. Audit Trail. Display audit trail of demo activity, including field-level and all other kinds of configuration settings available.

2.4 Reporting

1. Show the capabilities for monitoring work queues
2. Demonstrate how performance dashboards can be customized

2.5 Document Management and Records Management

1. Show central administration of the document management system

Attachment 8: Current Interfaces

This attachment addresses current interfaces and information exchanges that will be required of the Lucas County ICMS system. It only addresses external outbound and inbound interfaces, because data sharing between the ICMS system components (Court/Clerk CMS, E-filing System, Supervision CMS, Jail/ Detention Management System, Prosecuting Attorney CMS, and Jury Management System) is covered in the matrices of requirements in **Attachments 1-6**.

Lucas County justice systems share data with several external agencies identified in the matrix. Information sharing between the ICMS and these agencies will be accomplished using the format of National Information Exchange Model (NIEM)-based XML exchanges through the vendor's data integration broker. The ICMS must interface with the data integration broker. For each outbound (sending agency) exchange, ICMS must serve up the document in XML format to the data integration broker. For each inbound exchange (receiving agency), ICMS must be able to accept and manage the data from the sending agency.

Attachment 4 Jail and Detention Management System Capabilities and Scenarios in Exhibit A contains a list of current interfaces of the Lucas County Correctional Center jail management system.

Specific information exchanges to be implemented for the other modules are listed in the table below.

Sending Agency	Receiving Agency	Document(s)/ Information
Court of Common Pleas	Attorney General	Past-due accounts for collection
Court of Common Pleas Domestic Relations Div.	Attorney General	Past-due accounts for collection
Court of Common Pleas – Gen Division	Attorney -Hal Burke	Past-due accounts for incarcerated collections
Court of Common Pleas	Ohio Court Network (OCN)	Statistics
Court of Common Pleas – Gen Division	Board of Elections	Felony Convictions
Court of Common Pleas – Gen Division	Bureau Criminal Identification & Investigation (BCI)	Dispositions on Criminal Arrests
Court of Common Pleas – Gen Division	NORIS	Criminal Events/Register of Actions
Court of Common Pleas – Gen Division	NORIS	Electronic/email transmission of criminal subpoenas to the Toledo Police Department
NORIS	Common Pleas Court – Gen Division	Active Warrants
Court of Common Pleas	NORIS	On-view Charges
Court of Common Pleas	NORIS	Events/ scheduled court dates
Court of Common Pleas	NORIS	Warrants
Court of Common Pleas	Bureau of Motor Vehicles	Traffic citation
Court of Common Pleas	Bureau of Motor Vehicles	DUI Involvement (driver license suspension/reinstatement)
Municipal Courts (NORIS)	Court of Common Pleas	Incident Report, Police Report, Supplemental, additional charges for in-custody inmates

Attachment 8: Interfaces

Sending Agency	Receiving Agency	Document(s)/ Information
Toledo & Oregon Police (NORIS)	Court of Common Pleas	Warrants
Ohio Law Enforcement Automated Data System (LEADS)	Court of Common Pleas	Wants/ warrants and CCH query responses
Bureau of Criminal Investigation (BCI&I) (NORIS)	Court of Common Pleas	Information whether inmate's DNA is on file with BCI&I
Wintox Laboratory Information Management System	NORIS (new interface will be ICMS Supervision module)	Drug test results
WALZ certified mail service	JIS	Certified mail service
Lucas County Children Services (LCCS)	JIS	Crossover youth (both dependency and delinquency)

Attachment 9: Data Conversion Information

The current CMS systems are not well documented and do not include any data mappings for any of the tables, architecture, data model, structures or relationships.

The following systems require conversion of legacy data:

1 Court/Clerk General Division: FACTS, Tiburon, Inc. Case Management System 1

2 Court/Clerk Juvenile Division: JIS, Henschen & Associates, Inc. Case Management System .. 1

3 Court/Clerk Domestic Relations Division: CMS: ProWare Case Management System..... 5

4 Adult Probation: Monitor, Loryx Systems Case Management System 6

5 Sheriff Civil Division: CMS, ProWare Case Management System 6

6 Sheriff's Office Jail: Inmate Records, NORIS Jail Management System 6

1 Court/Clerk General Division: FACTS, Tiburon, Inc. Case Management System

FACTS Database Information

Logical Drive	*Database Space Assigned GB*	*Total Space Used GB*	*Capacity / Size of Drive GB*
C:	4.12	52.4	68.25
D:	49.1	101	136.49
Total:	53.22	153.4	204.74
Size of daily backup file:	27.5 GB		
Number of Tables AVAILABLE in FACTS	1,049		
Number of Fields AVAILABLE in FACTS	18,147		
Number of Tables USED in FACTS	417		
Number of Fields USED in FACTS	6,367		

2 Court/Clerk Juvenile Division: JIS, Henschen & Associates, Inc. Case Management System

JIS System Tables and Number of Fields

	Table Name	# Fields
1.	Ch_cal	198
2.	Ch_cal_cmh	198
3.	Ch_cal_sav	198
4.	Ch_contr	19
5.	Ch_date	27
6.	Ch_hol	8
7.	Ch_judge	35

	Table Name	# Fields
8.	Ch_off	5
9.	Ch_rep	35
10.	Ch_staff	7
11.	Ch_time	32
12.	OCNSubTy	11
13.	OCNcaseju	15
14.	OCNcontl	26

Attachment 9: Data Conversion Information

	Table Name	# Fields
15.	OCNcrt	4
16.	OCNdispo	6
17.	OCNerrorju	83
18.	OCNfileAju	33
19.	OCNfileBju	56
20.	OCNfileCju	35
21.	OCNfileDju	11
22.	OCNfileEju	25
23.	OCNfileFju	58
24.	SQLtestfile	not in production
25.	T1	?
26.	_judclh_my	replication
27.	bacttl	30
28.	batem	12
29.	bapur	17
30.	barec	10
31.	bavendor	12
32.	bcicdn	2
33.	bcicpn	2
34.	bcimain	29
35.	bciorc	13
36.	cmhatty	?
37.	csbdock	missing file
38.	cust	?
39.	fpprod	?
40.	filelist	missing file
41.	fpsttax	?
42.	gldd0	?
43.	glfcode	3
44.	glimages	?
45.	glpath	21
46.	glsign	?
47.	haagencycd	11
48.	haattycd	33
49.	hacourtcd	3
50.	invc	33
51.	jdadmit	99
52.	jddtndock	104
53.	jdeten	81
54.	jdguide	57

	Table Name	# Fields
55.	jdguide2	98
56.	jdhist	16
57.	jdincid	26
58.	jdinv	32
59.	jdmed	59
60.	jdoffic	7
61.	jdreleas	23
62.	jdremark	8
63.	jdrev	14
64.	jdrmbed	105
65.	jdrmbedstats	106
66.	jdtmp	70
67.	jdvis	10
68.	jdvisit	9
69.	jkjpdrug	?
70.	jkjudcince	?
71.	jkjudcsanc	?
72.	jkjuhistje	?
73.	jkjumccash	?
74.	jkjuv	?
75.	jpactivity	10
76.	jpaddress	5
77.	jpaddress_old	5
78.	jpassign	7
79.	jpbehave	34
80.	jpcodes	3
81.	jpcomprb	15
82.	jpcontact	10
83.	jpcs	7
84.	jpcscode	11
85.	jpcourts	7
86.	jpcs	18
87.	jpd1sum	70
88.	jpd1sumj	70
89.	jpd2comm	70
90.	jpd3cnfl	70
91.	jpd3cour	18
92.	jpd3rlsm	70
93.	jpd4awol	70
94.	jpd4behv	70
95.	jpd4chil	13
96.	jpd4plac	12

	Table Name	# Fields
97.	jpd4relg	70
98.	jpd5sdpl	86
99.	jpd6chia	70
100.	jpd6eval	7
101.	jpd6hosp	70
102.	jpd6psyc	70
103.	jpd8alch	18
104.	jpd8drug	21
105.	jpd8tmnt	12
106.	jpd9remd	70
107.	jpd9summ	70
108.	jpd9yfml	70
109.	jpd9ytsw	70
110.	jpdisb	23
111.	jpdrug	53
112.	jpdrug_dec	49
113.	jpdrugx	49
114.	jpdtmp	7
115.	jpfam	26
116.	jpfamnarr	23
117.	jpfoster	20
118.	jpha	16
119.	jpheader	not in production
120.	jphealth	28
121.	jpidrecnum	2
122.	jpindrug	36
123.	jpinvol	9
124.	jpjsoap	52
125.	jpjuvnarr	23
126.	jplegal	12
127.	jppay	19
128.	jppdi	365
129.	jpperfmeas	108
130.	jpplace	9
131.	jprcohco	1
132.	jprcohio	97
133.	jprcohio2	57
134.	jprcohiopl	2
135.	jprcohioterm	2
136.	jprcohlw	2
137.	jprcohmh	2

	Table Name	# Fields
138.	jprcohtc	1
139.	jprctmp	285
140.	jpreferr	21
141.	jprefinf	not in production
142.	jprefprb	156
143.	jprest	46
144.	jprestic	9
145.	jprestpy	13
146.	jprisk	133
147.	jprnovrd	13
148.	jprnshis	25
149.	jprnsrisk	46
150.	jprnstudy	64
151.	jpschool	31
152.	jpsurv	18
153.	jptickle	9
154.	jpvictim	26
155.	jpvouch	11
156.	jsattend	8
157.	jsoap	not in production
158.	ju_caseprep	not in production
159.	juabcomp	106
160.	juabcompE	broken
161.	juabje	20
162.	juabje_arch	20
163.	juabje_sav	19
164.	juabjeaud	36
165.	juabjebu	17
166.	juabjetmp	19
167.	juabjuv	12
168.	juabmagdec	120
169.	juabord	24
170.	juabparty	13
171.	juabplan	8
172.	juabtmp	103
173.	juaddress	6
174.	juagency	10
175.	juandpar	7
176.	juapje	20
177.	juapje_arch	20

	Table Name	# Fields
178.	juapje_restored	20
179.	juapje_sav	19
180.	juapjeebu	17
181.	juapjetmp	19
182.	juapp	105
183.	juappE	broken
184.	juappdef	15
185.	juappgal	7
186.	juappjuv	6
187.	juappmagdec	84
188.	juappord	24
189.	juappplt	15
190.	juapptmp	101
191.	juatty	33
192.	juattyhis	14
193.	jubmv	180
194.	jubmv2	26
195.	jubmv3	2
196.	jubmv4	9
197.	jubmvcds	3
198.	jubmverr	151
199.	jubmvtmp	missing file
200.	jucal	36
201.	jucities	8
202.	jucommitment	47
203.	jucondf	6
204.	juconje	20
205.	juconje_arch	20
206.	juconje_sav	20
207.	juconjebu	16
208.	jucontr	88
209.	jucontr_cmh	88
210.	jucontr_sav	88
211.	jucounty	2
212.	jucoy	23
213.	judates	48
214.	judc	89
215.	judcaccd	3
216.	judcacco	5
217.	judcatte	7
218.	judcincd	3

	Table Name	# Fields
219.	judcince	7
220.	judcjd	9
221.	judcje	29
222.	judclh	5
223.	judclh_my	not needed
224.	judcparty	10
225.	judcsacd	3
226.	judcsanc	7
227.	judcscho	8
228.	judctmp	89
229.	judctrcd	4
230.	judctrea	11
231.	judisb	23
232.	judispo	4
233.	judysins	10
234.	juenv	15
235.	jueomcode	3
236.	jueomtmp	95
237.	juheader	7
238.	juhear	20
239.	juhistje	84
240.	juhstrpt	45
241.	juidtmp	3
242.	jujectrl	38
243.	jujectrl_oc	18
244.	julabel	10
245.	julabel_3_14_12	10
246.	jumangt	9
247.	jumccash	30
248.	jumcdepo	12
249.	jumcmisc	2
250.	jumform	27
251.	jumisc	10
252.	jumonth	2
253.	jumot	19
254.	jumotcod	5
255.	juoffice	11
256.	juorc	115
257.	juotctrl	2
258.	juother	80
259.	juothje	14

	Table Name	# Fields
260.	jurandom	2
261.	jurcohio	44
262.	jurcohpl	2
263.	jurcohrm	5
264.	jurcohtm	0
265.	juschool	11
266.	juscr	11
267.	juseal	11
268.	jusupcas	4
269.	jusvc	60
270.	jusvc_org	48
271.	jusyo	23
272.	jutape	6
273.	jutemp	19
274.	jutickle	6
275.	jutrbmv	52
276.	jutrcomp	111
277.	jutrje	19
278.	jutrjebu	17
279.	juucodf	4
280.	juunrcom	104
281.	juunrje	20
282.	juunrje_arch	20
283.	juunrje_new	18
284.	juunrje_sav	19
285.	juunrjebu	17
286.	juunrtmp	101
287.	juv	135
288.	juvictrk	7
289.	juvit	32

	Table Name	# Fields
290.	juvother	62
291.	juvparty	6
292.	juvrel	18
293.	juwarran	41
294.	juweapon	2
295.	juwit	9
296.	jyac	70
297.	jyachist	16
298.	jyguide2	99
299.	probtemp	22
300.	prompt	1
301.	sclient	11
302.	sinvoice	21
303.	smcguide2	100
304.	sproduct	7
305.	ssalesmn	8
306.	states	3
307.	stpayrol	121
308.	swcase	22
309.	syoresearch	71
310.	test	X
311.	tmprisk	18
312.	tok.input	X
313.	walz	18
314.	walzevnt	6
315.	walzrate	9
316.	walzreply	7
317.	xinv	4
318.	xtran	5

3 Court/Clerk Domestic Relations Division: CMS: ProWare Case Management System

Logical Drive	*Database Space Assigned GB*	*Total Space Used GB*	*Capacity / Size of Drive GB*
C:		16.76	22.00
D:		107.73	114.00
Total:		124.49	136.00
Size of daily backup file:			
Number of Tables AVAILABLE			

Number of Fields AVAILABLE			
Number of Tables USED			
Number of Fields USED			

4 Adult Probation: Monitor, Loryx Systems Case Management System

Fields are difficult to count because some fields are used over and over again. Not all data will be migrated: some data is input once and never used again.

Logical Drive	*Database Space Assigned GB*	*Total Space Used GB*	*Capacity / Size of Drive GB*
C:		6	
Size of daily backup file:	12		
Number of Tables USED	834		
Number of Columns USED	15,686		
Documents to be migrated (Word, PDF)	52,196		

5 Sheriff Civil Division: CMS, ProWare Case Management System

Logical Drive	*Database Space Assigned GB*	*Total Space Used GB*	*Capacity / Size of Drive GB*
C:		16.76	22
D:	34.2	107.73	114
Total	34.2	124.49	136

6 Sheriff's Office Jail: Inmate Records, NORIS Jail Management System

Database:	**production**	**Export (production reporting, integration)**	**Archived expunge-ments**	**Common (code tables, program security)**	**RID (Regional Identifier Integration)**	**TOTAL:**
Total Tables	423	179	172	230	128	1,132
Total Fields	9,904	1,930	3,107	6,865	7,083	28,889
Tables in Use	**242**	**38**	**172**	**168**	**56**	**676**
Fields in Use	**4,392**	**453**	**3,107**	**2,726**	**800**	**11,478**
Total Views	423	5	-	-	-	428
Total Triggers	115	-	-	-	-	115
Total Primary Keys	245	11	-	-	-	256
Total Stored Procedures	331	45	-	-	-	376
Size						250M

SECTION C -EXCEPTION AND ADDITIONAL RESPONSE AREA

EXCEPTION FORM

PAGE #	*EXCEPTION*

ADDITIONAL RESPONSE AREA

IMPORTANT NOTE

Due to heightened security at One Government Center, if your proposal is to be delivered to the RFP-opening site by other than US Mail, UPS or Federal Express, **you must complete, print and attach this label to the front of the container holding your document. Note: Upon entering One Government Center, you will be required to show a photo ID.**

Formal Proposal to: Lucas County Support Services
One Government Center, Suite 480
Toledo OH 43604-2247

RFP Title _____

Request for Proposal No. _____

Date of RFP Opening _____

RFP Opening Time _____

Vendor Name _____