

The Supreme Court of Ohio

REQUEST FOR PROPOSAL

REPLACEMENT CASE MANAGEMENT SYSTEM (CMS) FOR HOCKING AND UNION COUNTY COMMON PLEAS COURT

RFP No. 2016-08

Date of Issuance: April 11, 2016

Response Due Date:

April 29, 2016 2:00 p.m. EST

NOTICE

R.C. Section 9.24 prohibits the Supreme Court from awarding a contract to any Vendor against whom the Auditor of State has issued a finding for recovery if the finding for recovery is unresolved at the time of award. By submitting a proposal, Vendor warrants that it is not now, and will not become subject to an unresolved finding for recovery under R.C. Section 9.24, prior to the award of any contract arising out of this Request for Proposals, without notifying the Supreme Court of such finding.

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SECTION 1. OVERVIEW

In partnership with the Hocking and Union Counties Common Pleas Court - General and Domestic Relations Division, the Supreme Court of Ohio (“SCO”) is seeking proposals for the provision and implementation of a commercial-off-the-shelf (“COTS”) Case Management System (“CMS”) for both the Hocking and Union County Common Pleas Court - General and Domestic Relations Division. The successful vendor will be responsible for providing a solution that includes the software and all required implementation services to ensure a fully operational environment.

It is the intent to identify and implement a common CMS in both Courts, which allow for local configurations as required. Vendors, based on their expertise, shall submit proposals that incorporate recommended best practices that will allow for the optimization of the overall CMS Solution and ideal implementation of the product itself.

It is the intent of the Supreme Court of Ohio to partner with the Hocking and Union Counties Common Pleas Court in selecting and implementing a single CMS for both Courts. Following the implementation, the direct ownership of all licenses will be with the individual Courts.

SECTION 2. CURRENT ENVIRONMENT

Currently, both Hocking and Union County are using the MacDonald, Friedberg, Carr and Dixon (“MFCD”) CMS. The table below outlines the average annual incoming case volume by case type, per court, over the last five full calendar years. Hocking County has 8 current users and Union County has 17 current users identified.

Case Type	Hocking	Union
Domestic Relations	268	336
General Civil	299	413
Criminal	256	289
Total	823	1,037

SECTION 3. SUPREME COURT OF OHIO STANDARDS

The Supreme Court of Ohio (“SCO”) is exploring the viability of, and alternatives for, the development and adoption of statewide court CMS standards that will improve electronic data exchange between courts and various court partner agencies. The long term vision of CMS standards is one where a court-specific implementation of any vendor’s CMS would incorporate standards that facilitate more efficient electronic data exchange and reporting as well as CMS updates, user training and standardized process flows where appropriate.

The first step in the development of CMS standards is to establish a list of prioritized target areas for development of state-wide CMS standards that will be appropriate and valuable, and to develop a strategy and process for standards creation and adoption. To begin this step, the SCO has created a CMS standards workgroup that includes various court representatives across the state. The SCO and the CMS standards workgroup also wishes to engage the CMS vendor community for input and inclusion in standards development, and recommendations for implementing standards over time.

As previously stated, the intent of this project to identify and implement a common baseline CMS in both Hocking and Union County Courts. Hocking and Union Counties have agreed to implement finalized standards as early adopters. Therefore, the SCO and the local courts wish to partner with the selected vendor to explore opportunities for establishing configurations and processes that will facilitate the implementation of standards. At a minimum, our goal is to establish common values for the code structures listed as target areas for standards as part of the Hocking and Union County implementations. A list of potential target areas for standards development is included in Appendix E.

SECTION 4. GENERAL REQUIREMENTS

- 4.1 The successful vendor shall have a CMS currently implemented in an Ohio Court’s General and Domestic Relations Division.
- 4.2 The successful vendor shall be available to begin implementation within thirty days of the contract being executed.
- 4.3 The successful CMS shall incorporate common business rules, compliant with Ohio Rules and Practices, enabling courts to conduct and perform their business needs in the most streamlined and efficient manner.
- 4.4 The successful CMS shall have the ability to efficiently facilitate work-flow between courts and state agencies (e.g. BMV, BCI, SCO, and eStats).
- 4.5 The successful CMS shall be able to be configurable as required by local courts, but not customized for each court.
- 4.6 The successful CMS shall have the ability to provide efficient, accurate, and comprehensive case flow management and case statistics reporting.

SECTION 5. CORE SYSTEM REQUIREMENTS

The proposed CMS must encompass all of the Core CMS System Components as identified in Section 8 “Proposal Response Criteria,” which categories include:

- 5.1 Caseflow Management
- 5.2 Electronic Document Management
- 5.3 Digital/E-Signature Authentication
- 5.4 Management Reporting
- 5.5 Web Based Public Access to Court Records
- 5.6 E -Payments
- 5.7 Jury Management
- 5.8 Financial Management
- 5.9 Data Integration - The data integration component shall include, but not be limited to:
 - a) Electronic interface between the Courts and OCN, BMV, BCI, OAG, USPS, and eStats
 - b) Data integration ability for local court custom data exchanges (e.g. Matrix Prosecutors System)
 - c) Ability to integrate with one or more e-filing services
- 5.10 Data Conversion
 - a) It is the intent that both the Hocking and Union County Courts current and historical records will be converted to the new system

SECTION 6. INSTRUCTIONS TO VENDORS

6.1 Schedule of Key Milestone Events

Listed below are specific dates and times related to this RFP. Actions with specific dates and/or times shall be adhered to unless changed by the SCO via an addenda. Any change or addenda issued in relation to this document will be documented at <http://www.ohiocourts.gov>. It is the responsibility of the Vendor to ensure receipt of all documentation issued by the Court.

RFP Issuance	April 11, 2016
Pre-Proposal Conference	April 19, 2016 1:00 p.m.
Deadline for submitting Questions	April 21, 2016 10:00 a.m.
Final Addendum to be Issued	April 25, 2016
Proposal Responses Due	April 29, 2016 2:00 p.m.
Vendor Presentations	May 18 – 20, 2016
Evaluation Complete	May 20, 2016
Notice of Intent to Award	May 31, 2016
Contract to Begin	July 1, 2016

6.2 Questions and Clarifications in relation to RFP

All questions and clarifications in relation to this RFP shall be submitted in writing to no later than April 21, 2016 at Hocking-UnionProject@sc.ohio.gov no later than 10:00 am EST. Questions received after this time will not be answered. Verbal questions will not be accepted. Written responses to questions received will be compiled and published on the <http://www.ohiocourts.gov>, with any vendor specific information removed.

6.3 Pre – Proposal Conference

A Pre-Proposal Conference will be held April 19, 2016 at 1:00 pm EST at the Ohio Judicial Center, located at 65 South Front St. Columbus, Ohio 43215. Participation may be available via teleconference. If so, dialing instructions will be provided. The Court makes no warranties as to the quality of the teleconferencing system or audio transmission, or guarantees that the teleconferencing system will remain active during the conference.

The purpose of the conference will be to discuss the requirements and objectives of the RFP and the project itself. Attendance is voluntary; however vendors are encouraged to attend as all prospective vendors will

be required to comply with, and be responsible for the information discussed regardless of whether or not they attend.

The Court will not issue minutes or notes from the pre-proposal conference, however, written addenda may be issued if deemed necessary by the Court.

Questions will be accepted prior to, during and subsequent to the Pre-Proposal Conference, and in accordance with Section 6.2. In order for questions to be answered at the conference, they must be submitted to Hocking-UnionProject@sc.ohio.gov by April 15, 2016. Questions not submitted in advance may be asked at the conference, but may or may not be answered at the conference itself.

6.4 Communication

Vendors are not to meet and/or initiate communication with the Supreme Court of Ohio employees and/or Hocking and Union Common Pleas Court - General and Domestic Relations Division employees during the RFP process, except with respect to current or on-going work. The RFP process is considered to have begun on the date in which the Court issues the solicitation and is considered concluded on the date in which the contract has been fully executed. Any attempts to meet and/or initiate contact during the request for proposal process, other than that expressly authorized by the request for proposal, may result in disqualification. All inquiries in relation to this RFP shall be submitted in writing to Hocking-UnionProject@sc.ohio.gov.

SECTION 7. PROPOSAL SUBMISSION

Submitted proposals should provide a concise delineation of the vendor's capabilities to provide the equipment and perform the services requested. The proposal submitted must provide the requested information in sufficient detail to enable the Supreme Court to evaluate vendors pursuant to the specifications and other requirements.

Solicited vendors responding to the request for proposals should satisfy all the requirements specified in the request for proposals to qualify.

Two complete and signed copies of the proposal must be submitted for evaluation – one in original format and one in electronic format. The electronic format shall be provided on a flash drive, CD, or other similar medium. Please provide the name; telephone and facsimile numbers, including area code; and street and electronic mail addresses of the representatives of the company who may be contacted regarding this proposal. In addition, any request for confidentiality regarding the proposal submitted must be clearly delineated by the vendor. Proposals shall be clearly marked as follows:

Supreme Court of Ohio Request for Proposals Number 2016-08
Attn: Cindy Collins, 7th Floor
The Supreme Court of Ohio
65 South Front Street
Columbus, Ohio 43215-3431

Sealed proposals are to be received no later than April 29, 2016 at 2:00 p.m. The Supreme Court reserves the right to reject any and all proposals. The preparation of the proposal shall be at the vendor's expense.

SECTION 8. PROPOSAL RESPONSE CRITERIA

The format of the proposal response must be followed as identified and all requested information must be submitted as indicated. Vendors shall respond in chronological order to the questions and/or criteria identified below, labeling responses using the question numbers and labels listed below. Failure to submit all information and/or documentation as requested may result in the proposal being found non-responsive.

8.1 Executive Summary

8.1.1 Vendors shall submit an executive summary, highlighting the key features of the proposal, explaining how the proposed solution and approach incorporates best practices that will allow for system optimization. The summary shall include the name and title of the individual(s) involved in the preparation of the response. In addition, provide the name, address, and telephone number of the individual to which inquiries relating to the response should be directed.

8.2 Vendor's Experience

8.2.1 Describe your experience in implementing the proposed system, including the identification of where the proposed system is currently implemented within Ohio. A minimum of three references in which the proposed system has been implemented must be submitted within the proposal response. One reference must be from an implementation completed in Ohio.

8.2.2 Describe your prior experience regarding approaches and recommendations concerning conversion of data from other systems.

CMS CORE SYSTEM COMPONENTS

8.3 Caseflow Management

8.3.1 Caseflow Management and Business Rules-Based Automation: Please describe the caseflow management capabilities of your system that allows court staff to monitor case progress, notify judges and staff of target dates or milestones, such as when motions are ripe, when cases are trial-ready, when reports are due; thereby, assisting judges and staff with timely movement of cases from initiation to disposition.

8.3.2 Electronic Workflow: Please describe how your system electronically routes work to court staff and judges and notifies judges and staff that work has arrived for their action.

8.3.3 E-Bench capabilities: Please describe any e-bench capabilities that your CMS allows for judges and clerks to electronically manage cases, forms and documents from the bench during a live hearing without accessing physical files or calendars.

8.3.4 Courtroom Management: Please describe any integration your CMS has with Courtroom Management systems, such as courtroom display systems, electronic recording systems, etc.

- 8.3.5 Automated Sentence Guidelines/Assistance: Please describe how your CMS uses workflow or automation to assist with managing a complex set of sentencing guidelines.
- 8.3.6 Expungement and Sealing: Please describe how your CMS handles the sealing and expungement of cases. Identify any capabilities related to partially sealing cases.
- 8.3.7 Disposition Flagging: Please describe how your CMS may automate the notification of specific reporting requirements, such as sex offender registration, BMV license suspensions, Report of Convictions to Board of Election, etc.
- 8.3.8 Electronic Notifications: Please describe your capabilities for electronically notifying attorneys, case parties and justice partners of critical events and upcoming scheduled events. Also describe whether such notifications can be automatically sent via e-mail, SMS or through other means.
- 8.3.9 Service Management: Describe how your CMS can assist the Courts in better managing process of serving documents.
- 8.3.10 Scheduling/Calendar: Please describe how your CMS can assist the Courts in the scheduling and calendaring of cases events.
- 8.3.11 Case Participant Roles: Please describe how your CMS can assist the Courts in managing case parties across multiple cases. Please describe how your CMS can assist the Courts in tracking and identifying additional case participant roles (those not included as party or attorney) including but not limited to, victims, witnesses and law enforcement officers. Please include how your system manages parties or other participants considered sensitive or confidential (redaction, etc.).
- 8.3.12 Automated Case Judge Assignments: Please describe how your CMS manages automated judge assignments at case initiation, and how judge assignments are adjusted when judges are excused, recused, or reassigned.

8.4 Electronic Document Management

- 8.4.1 Document Management System: Please describe your overall document and content management system.
- 8.4.2 Template Management Interface: Please describe your CMS's ability to utilize templates for document production.
- 8.4.3 Automated Records Management: Please describe your overall Automated Records Management (ARM) features.
- 8.4.4 Automated Creation of Trial Court Record: Does your CMS include the ability to upload a complete digitally indexed case records for cases that are being reviewed by a higher court?
- 8.4.5 Document and Portal Redaction of Sensitive identifiers: Please describe how your CMS deals with document and case data redaction. Describe any auto redaction capabilities, such as redacting dates of birth and social security numbers.
- 8.4.6 Batch Document Scanning Features: Please describe how your CMS facilitates batch document scanning.

8.5 Digital/E-Signature Authentication

- 8.5.1 Electronic Signatures and Signature Authentication: Please describe how your CMS incorporates electronic signatures (imaged and/or digital). If you have incorporated true digital signatures supported by a third party signature authority, please describe.

8.6 Management Reporting

- 8.6.1 Management and Performance Dashboards and Reports: Please describe any dashboard or other automated management reporting capabilities of the CMS that will assist in work management and decision making processes, including but not limited to those listed in Appendix C.

8.7 Web Based Public Access to Court Records

- 8.7.1 Online Public Access: Please describe the online public access features and capabilities of your CMS to case records. Include any specific security features, rules-based classification and redaction of sensitive or confidential data and documents.

8.8 Financial Management

- 8.8.1 Case Financials and General Ledger Functionality: Please describe how your system handles financial accounting, receivables and general ledger functions including management of funds and fee disbursements pursuant to the State of Ohio requirements.
- 8.8.2 E-payments: Please describe how your system accepts online e-payments.
- 8.8.3 Financial Reporting: Please describe how your system facilitates data exchanges and reporting between government finance and budget agencies and the courts.
- 8.8.4 GAAP Financial Interfaces: Please describe how your system interfaces with Generally Accepted Accounting Practices (GAAP) based finance systems.

8.9 Jury Management

- 8.9.1 Please describe your system's jury management capabilities including but not limited to, juror payment management options, juror kiosk type self-serve features such as sign-in, juror communication, juror interaction, juror notices and juror historical service tracking.

8.10 Data Integration

- 8.10.1 Interface: Please describe your system interface and data integration solution. At a minimum, the system must include electronic interface between the Courts and OCN, BMV, BCI, OAG, USPS, and eStats, specifically FTP method. Please describe your data exchange methods and whether they comply with standards, such as the National Information Exchange Model (NIEM). Please describe your solution for developing custom exchanges.

8.11 Data Conversion

- 8.11.1 As stated, it is the intent that both Hocking and Union County Courts current and historical records will be converted to the new system. Please describe experience and/or proposed approach for converting the case management history for both Courts.
- 8.11.2 Please describe your prior experience regarding approaches and recommendations concerning conversion of data from MacDonald, Friedberg, Carr and Dixon (“MFCD”) CMS.

8.12 Additional Components

- 8.12.1 Audit Tracking: Please describe how your CMS handles audit tracking of user activity into the system.
- 8.12.2 Granularity of Role-based Viewing and Security: Please describe the level of detail, granularity, grouping and hierarchy of role-based permissions within your CMS as it pertains to views, data and files.
- 8.12.3 Mobile device support: Please describe mobile device access and functionality the proposed system supports.
- 8.12.4 Data Validation and Error Detection Features: Please describe how your CMS addresses data validation and error detections.
- 8.12.5 Additional Components: Please describe any additional system capabilities that have not been defined and or identified within that you would like the Court to consider.

Although it is not the intent to implement at this time, in the future, the Courts may be interested in additional functionalities. As a result, we are requesting the below information.

- 8.12.6 Criminal E-Charging and E-Citations: Sometimes called criminal e-filing, e-charging can automatically transfer cases from charging entities – law enforcement agencies and prosecutors – to courts, and court clerks can electronically accept the charging documents, initiate criminal cases, schedule hearings and send electronic notices to registered parties through simple acceptance of the prosecutor’s entire criminal filing. If your system now incorporates e-charging, please explain how it works. Additionally, if possible, please speak to how your system takes in, stores and manages e-citations.
- 8.12.7 E-filing: Please describe how your CMS facilitates e-filing by attorneys and/or case parties. If your CMS does not currently have an integrated e-filing module, please explain how your system integrates with third-party e-filing applications.

8.13 Project Implementation

- 8.13.1 Implementation Model: The successful vendor shall be available to begin implementation within thirty days of the contract being executed. Please describe your recommended implementation model, including proposed time line required for successful completion. Describe all resources, including all team members that will be assigned to this project.

- 8.13.2 Data Conversion Model: Please describe your recommended data conversion model, including proposed time line and any expectations that will need to be adhered to by the Court to ensure a successful implantation.
- 8.13.3 Training and Execution Model: Please describe your recommended training and execution model, including proposed time line and any expectations that will need to be adhered to by the Court to ensure a successful implantation.
- 8.13.4 Maintenance and Support Model: Please describe your recommended ongoing maintenance and support model, including proposed time line and any expectations that will need to be adhered to by the Court to ensure a successful implantation.
- 8.13.5 Change Order Management: Please describe the change order management process utilized for both project and product changes and enhancements.
- 8.13.6 Equipment Requirements: Please supply a list of all equipment required for configurations and implementation. This information is being requested for information purposes only. No equipment identified. Do not include any equipment listed as a portion of the cost component.
- 8.13.7 Best Practice Implementation: As a portion of this implementation, and potential future implementations, please describe how you will provide subject matter expertise and credible, well-demonstrated best practices that will help drive our organizational and business process transformation.
- 8.13.8 Cost Proposal: Vendors shall complete and submit the “Cost Proposal Form”, included as Appendix B. Alternate submissions will not be accepted.

SECTION 9. EVALUATION CRITERIA

All conforming proposals received will be evaluated by the Supreme Court, which may accept or reject any or all proposals, in whole or in part, and may waive minor defects in a proposal, if no prejudice results to the rights of another vendor or to the public.

Non-conforming proposals will not be considered. Non-conforming proposals are defined as those that do not meet the requirements of this RFP, and/or propose systems other than that which attempts to meet the defined requirements.

All proposals will be evaluated the following information provided by the vendor in response to the RFP. It is the responsibility of the Vendor to provide all documentation as required. This list is not meant to be hierarchical.

- 1) Demonstration of the Vendor’s understanding of the purpose, scope and objectives of the Project;
- 2) Demonstrated experience in successfully installing a system of similar scope and scale, with emphasis on the specific capabilities required by the Court;
- 3) Design, capability, and functionality of the proposed application software including the level of integration between software components;

- 4) Feasibility, timeliness and quality of the implementation schedule with demonstrated ability to meet implementation deadlines;
- 5) Financial stability and resources of the vendor;
- 6) Qualifications, experience and technical expertise of Vendor staff assigned to this project;
- 7) Economic feasibility and justification of all costs;
- 8) The extent and quality of end-user, administrator and technical training;
- 9) Level of service and responsiveness that the Vendor commits to providing
- 10) The best interest of SCO.

SECTION 10. PROPOSAL CLARIFICATION

The Court may contact any Vendor in order to clarify uncertainties or eliminate confusion concerning the contents of a proposal. However, Vendors will not be able to modify proposals as a result of any such clarification request.

SECTION 11. ORAL PRESENTATIONS AND DEMONSTRATIONS

As part of the evaluation process, Vendors who have submitted proposals may be required to appear before an evaluation committee composed of participants identified by the Supreme Court to respond to questions and/or to present additional information as requested. The Supreme Court is not required to request additional information from all respondents. The Vendor's representative(s) attending the oral presentation shall be technically qualified to respond to questions related to the proposed system, its components and implementation. Demonstrations may include both scripted scenarios provided to the Vendors by the Court, as well as demonstration of non-scripted events requested at the time of the demonstration. All Vendor costs associated with participation in oral presentations and system demonstrations shall be the Vendor's responsibility. Vendors selected to provide an oral presentation and system demonstration shall be notified in writing by the Court.

SECTION 12. REFERENCE VERIFICATION

The Court may contact any customer of the Vendor, whether or not included in the Vendor's reference list, and use such information in the evaluation process. Additionally, the Court may choose to visit existing installations of comparable systems, which may or may not involve Vendor personnel. If the Vendor is involved in such site visits, the Vendor is responsible for its own travel costs.

The SCO reserves full discretion to determine the competence and capabilities of Vendors and proposed systems. SCO may contact any customer of the Vendor, whether or not included in the Vendor's reference list, and use such information in the evaluation process.

SECTION 13. BEST AND FINAL OFFER

The evaluation process may, at the Courts discretion, include a request for selected Vendors to prepare a Best and Final Offer (BAFO) proposal for review. Vendors selected to participate in the BAFO will be provided guidance by the Court on aspects of the proposal which may be changed by the Vendor. A Vendor's participation in the BAFO process shall not be construed as award of a contract nor guarantee that a contract will be awarded.

SECTION 14. GENERAL TERMS AND CONDITIONS

14.1 By submitting a proposal, Vendor acknowledges that it has read and is thoroughly familiar with all specifications and requirements of the RFP, and is fully aware and understands all instructions, conditions and limitations. The failure or omission to examine any form, instrument or document shall in no way relieve Vendors from any obligation in respect to responding to this RFP.

14.2 By submitting a Proposal, Vendor certifies that Vendor has not, within the last seven (7) years been the subject of any government action to limit the Vendor's right to do business with the government. If the Vendor cannot so certify, the Vendor must provide a written explanation with the bid response.

14.3 By submitting a Proposal, Vendor certifies that he/she is (sole owner, partner, president, secretary, etc.) of the party making the forgoing proposal; that such proposal is genuine and not collusive or sham; that Vendor has not colluded, conspired or agreed, directly or indirectly, with any Vendor or person, to put in a sham bid; or colluded or conspired to have another not bid and has not in any manner, directly or indirectly, sought by agreement or collusion, or communication or conference, with any person to fix the price of its proposal or any other Vendor, or to fix any overhead, profit or cost element of the bid price, or of that of any other Vendor, or to secure any advantage against any Vendor or any person or persons interested in the proposed contract and that all statements contained in the bid are true; and further, that the Vendor has not, directly or indirectly, submitted this bid, or the contents thereof, or divulged any related information or data to any association or to any member or agent of any association.

14.4 By submitting a proposal, Vendor warrants that it is not subject to an unresolved finding for recovery under R.C. Section 9.24. If the warranty is false on the date the parties sign a contract awarding Vendor's proposal, the contract is void ab initio, and the vendor must immediately repay to the Supreme Court any funds paid under the contract.

14.5 The Court will not award a contract funded in whole or in part with Federal funds, to a person and/or entity who has been suspended or debarred from doing business with the State of Ohio or who appears on the Federal List of Excluded Parties Listing System <https://www.sam.gov/portal/public/SAM/>

By submitting a Proposal, the Vendor certifies that the Vendor is:

- a. an Ohio corporation that is properly registered with the Ohio Secretary of State; or
- b. a foreign corporation, not incorporated under the laws of the State of Ohio, but is registered with the Ohio Secretary of State pursuant to R.C. Sections 1703.01 to 1703.31, as applicable.

Any foreign corporation required to be licensed under R.C. Sections 1703.01 to 1703.31, which transacts business in the State of Ohio, without being so licensed, or when its license has expired or been canceled, shall forfeit not less than \$250 nor more than \$10,000. No officer of a foreign corporation shall transact business in the State of Ohio, if such corporation is required by R.C. Sections 1703.01 to 1703.31 to procure and maintain a license, but has not done so. Whoever violates this is guilty of a misdemeanor of the fourth degree.

14.6 The Court assumes no responsibility for costs incurred by the Vendor prior to the award of any Contract resulting from this RFP. Total liability of the Court is limited to the terms and conditions of a resulting Contract.

14.7 All proposals offered are firm, and shall remain for 180 days from the proposal due date. Check your proposal carefully because errors cannot be corrected after the proposals are opened. It is a condition of any award, under this proposal, that vendors shall deliver at prices quoted, even if in error.

14.8 A proposal, upon acceptance by the Supreme Court, immediately creates a binding contract between the vendor and the Supreme Court. Once accepted, it may not be rescinded, canceled, or modified by the vendor.

14.9 All received Proposals will be evaluated by the Supreme Court, which may accept or reject any or all Proposals, in whole or in part, and may waive minor defects in a proposal, if no prejudice results to the rights of another Vendor or to the public.

14.10 At the sole discretion of the Supreme Court of Ohio, the RFP may be cancelled or reissued in whole or in part, or a contract may not be awarded, if any of the following apply:

- a) The goods or services offered are not in compliance with the requirements, specifications, or terms and conditions set forth in the request for proposals.
- b) The price offered is considered excessive in comparison with existing market conditions, in comparison with the goods or services to be received, or in relation to available funds.
- c) It is determined that the award of a contract would not be in the best interest of the Court.

14.11 The Supreme Court is exempt from taxation. Federal transportation and excise taxes, as well as state excise taxes shall not be included in the proposal prices. Excise tax exception certificates will be furnished upon request. This purchase will not be subject to state taxes; tax exempt number: 31-6402047.

14.12 The Court requires vendors and contractors wishing to do business with the Court to provide their Federal Taxpayer Identification Number. The Court does this so that it can perform statutorily required "responsibility" analyses on those vendors and contractors doing business with the Court and, under limited circumstances, for tax reporting purposes. If you are a Vendor using your Social Security Number as your Federal Taxpayer Identification Number, please be aware that the information you submit is a public record, and the Court may be compelled by Ohio law to release Federal Taxpayer Identification Numbers as a public record. If you do not want to have your Social Security Number potentially disclosed as a Federal

Taxpayer Identification Number, the Court encourages you to use a separate Employer Identification Number (EIN) obtained from the United States Internal Revenue Service's to serve as your Federal Taxpayer Identification Number.

14.13 The Supreme Court represents that it will have adequate funds to meet the obligations that will be incurred by contract. However, the Supreme Court shall have at its option the right to terminate any resulting contract should its appropriations, spending authority, or other revenues be reduced or, if applicable, if grant funds used to support this project are reduced or terminated.

14.14 Any contract resulting from this request for proposals is binding on the successful vendor. Failure of the contractor to meet or perform any of the contract terms or conditions shall permit the Supreme Court to rescind or cancel the contract and purchase replacement articles or services of comparable grade in the open market. The contractor shall reimburse costs and expenses in excess of the contract price necessitated by such replacement purchases to the Supreme Court. The Supreme Court does not waive the right to insist upon future compliance with these proposal specifications when there is undiscovered delivery of non-conforming goods or services.

A sample contract has been included as Appendix D for reference purposes only. The Court reserves the right to incorporate additional terms and/or conditions that are not currently identified in the sample contract.

14.15 Notice Regarding Disclosure of Confidential, Proprietary Information and Trade Secrets

The Supreme Court hereby advises vendors that all documents submitted in response to this Request for Proposals, including those documents that purportedly contain trade secret information, will become public records. The Supreme Court will allow the public, including other vendors, to inspect and obtain copies of these documents in accordance with Ohio Rules of Superintendence 44-46 after the Request for Proposals deadline expires unless: 1) in its response to this Request for Proposals, the vendor clearly identifies the document or document excerpt that the vendor believes is not a public record as defined in Ohio Sup.R. 44; 2) in its response to this Request for Proposals, the vendor identifies the provisions that exempt the document or document excerpt from the public records provisions of Ohio Sup.R. 44-46; or 3) Supreme Court staff determine that the document or document excerpt is not a public record as defined in Ohio Sup.R. 44. In weighing whether a vendor's proposal contains trade secret information that may be protected from disclosure under Ohio Sup.R. 44-46 and *State ex rel. Seballos v. School Employees Retirement Sys.* (1994), 70 Ohio St.3d 667, Supreme Court staff may consider the definition of "trade secret" in R.C. 1333.61(D) and the factors described in *State ex rel. The Plain Dealer v. Ohio Dept. of Ins.* (1997), 80 Ohio St.3d 513.

14.16 Equal Employment Opportunity Policy

The Supreme Court is an equal opportunity employer. Vendors conducting or seeking to conduct business with the Supreme Court are subject to Adm.P. 5 (Equal Employment Opportunity), a copy of which can be obtained from the office issuing this request for proposals.

14.17 Discrimination and Sexual Harassment Policy

The Supreme Court prohibits discrimination and sexual harassment. Vendors conducting or seeking to conduct business with the Supreme Court are subject to Adm.P. 24(A) (Discrimination and Sexual Harassment), a copy of which can be obtained from the office issuing this request for proposals.

14.18 Drug and Alcohol Free Workplace Policy

The Supreme Court intends to provide a drug and alcohol free workplace. Persons conducting or seeking to conduct business with the Supreme Court are subject to Adm. P. 19 (A-C), a copy of which can be obtained from the office issuing the request for proposals.

SECTION 15. APPENDICES

15.1 Appendix A: Proposal Submission Form

15.2 Appendix B: Cost Proposal Workbook

15.3 Appendix C: Recommended Caseflow and Operations Management Reports for Trial Courts

15.4 Appendix D. Sample Contract

15.5 Appendix E. CMS Code Structures - Potential Target Areas for Standards Development

SECTION 16. PROPOSAL SUBMISSION REQUIREMENTS

As a portion of their proposal response, all vendors are required to submit the documents and/or information identified below. Failure to submit all information and/or documentation as requested may result in the proposal being found non-responsive.

16.1 Appendix A: Proposal Submission Form

16.2 Appendix B: Cost Proposal Workbook

16.3 Proposal Response Criteria as identified in Section 8

APPENDIX A: PROPOSAL SUBMISSION

By submitting a proposal, Vendor acknowledges that it has read and is thoroughly familiar with all specifications and requirements of the RFP, and is fully aware and understands all instructions, conditions and limitations. The failure or omission to review the document in its entirety shall in no way relieve Vendors from any obligation in respect to responding to this RFP.

The individual's signature below constitutes that the person submitting the proposal response has is authorized to bind the vendor to this response, including the cost proposal. Failure to complete and submit in this form its entirety may result in the proposal being found non-responsive.

Proposal Submitted

By

Title

Signature

Date

Company Name

Address

Name of Contact

E-Mail

Phone No.

APPENDIX B: COST PROPOSAL WORKBOOK

This Cost Proposal Workbook contains 5 worksheets:

1. COST PROPOSAL DETAILS

This worksheet is for the Vendor to identify all costs associated with the proposed solution. We've requested that you show the costs separately for Hocking County Common Pleas (columns D and E); and for Union County Common Pleas (columns F and G).

2. COST PROPOSAL ASSUMPTIONS

This worksheet is for the Vendor to list all assumptions, notes or comments associated with the pricing submitted in this proposal. In the Section # column, Vendors are to specify the particular section of the Cost Proposal Details for which the assumption or comment applies.

3. SOFTWARE CUSTOMIZATIONS

This worksheet is for the Vendor to provide cost and descriptions for any requirement which would be met by proposed customization to the vendor's proposed base software package.

4. PAYMENT PLAN

This worksheet provides an example of allocation of costs for each phase of the Pilot courts implementation.

5. HOURLY RATES (for T&M SERVICES)

This worksheet is for the Vendor to provide hourly rates for available positions which could perform services for the SCO on a Time and Materials (T&M) basis during or following implementation.

NOTE: All worksheets have been formatted for printing; please do not change column widths

Add rows for detail as necessary for each Section/Category (do not change column widths on this worksheet)			Hocking County Common Pleas Court General and Domestic Relations Division		Union County Common Pleas Court General and Domestic Relations Division	
Section	Category	Vendor Descriptions (add descriptions as necessary)	One Time Cost	Ongoing Annual Cost	One Time Cost	Ongoing Annual Cost
1	Application S/W Licenses					
1.1	(Replace with software name)					
1.2	(Replace with software name)					
1.3	(add rows for detail as necessary)					
2	Application S/W Maint. & Support					
2.1	(Replace with software name)					
2.2	(Replace with software name)					
2.3	(add rows for detail as necessary)					
3	Required System System S/W Licenses					
3.1	(Replace with software name)					
3.2	(Replace with software name)					
3.3	(add rows for detail as necessary)					
4	Required System Software S/W Maint. & Support					
4.1	(Replace with software name)					
4.2	(Replace with software name)					
4.3	(add rows for detail as necessary)					
5	Database Conversion					
5.1	(add rows for detail as necessary)					
6	Image Migration					
6.1	(add rows for detail as necessary)					

Add rows for detail as necessary for each Section/Category (do not change column widths on this worksheet)			Hocking County Common Pleas Court General and Domestic Relations Division		Union County Common Pleas Court General and Domestic Relations Division	
Section	Category	Vendor Descriptions (add descriptions as necessary)	One Time Cost	Ongoing Annual Cost	One Time Cost	Ongoing Annual Cost
7	Training Services					
7.1	(add rows for detail as necessary)					
8	Implementation & Deployment					
8.1	Project Management					
8.2	Systems Integration					
8.3	Interfaces Implementation					
8.4	Unit and Systems Testing					
8.5	Software Installation Support					
8.6	On-site "Go-Live" Assistance					
8.7	Knowledge Transfer					
8.8	Others (add rows for detail as necessary)					
9	Other Required Items					
9.1	(add rows for detail as necessary)					
SUBTOTAL COSTS BY COURT			\$ -	\$ -	\$ -	\$ -
TOTAL ONE TIME COSTS			\$ -			
TOTAL ONGOING ANNUAL COSTS			\$ -			

The SCO requires that payments for products and services be based on the acceptance of completed milestones and deliverables defined in the Statement of Work. A detailed payment plan, and actual payment amounts for each milestone (as well as acceptance criteria) will be finalized during contract negotiations.

The payment plan shall be broken down by milestones and deliverables within each Deliverable Group listed in the table below. The table provides initial percentages of fees for each Deliverable Group. Indicate your agreement with the percentage identified, or enter your proposed percentages for each line item. Provide comments for each item for which you propose a different percentage.

PERCENTAGES BY DELIVERABLE GROUP			
Deliverable Group	Percentage	Agree or Proposed	Comments
Project Management and Preparation	5		
Organizational Change Management	5		
Requirements Analysis and Design	10		
Solution Implementation	10		
Testing and Preparation for System Go-Live	10		
Training	10		
Go-Live and Deployment	30		
Final Acceptance	20		

APPENDIX C: RECOMMENDED CASEFLOW AND OPERATIONS MANAGEMENT REPORTS FOR TRIAL

Case Management Section

A. CASE-LEVEL REPORTS

The following reports constitute a recommended beginning set of case-level management reports that trial courts can employ to monitor and control the pace and activity of individual cases in their dockets. These reports are generally applicable to all case types.¹

- 1. Case Aging.** This type of case aging report would list active pending cases that have reached some predefined case age that signals the need for further scrutiny on case status. An example would be a case reaching 90 percent of the Supreme Court's time guideline. The report should permit flexibility in the establishment of multiple tiers of time standards. Details for each case should include the case type, the last event, the next scheduled event, the date filed, and the total number of days each case has been pending, not counting any periods of placement on inactive reporting status (e.g., criminal cases in which a *capias* has been issued).
- 2. Overage Cases.** This type of case aging report would only list cases that have exceeded the applicable Supreme Court of Ohio case processing time standard. Details for each case should include the last event, the next scheduled event, the date filed, and the total number of days each case has been pending, not counting any periods of placement on inactive reporting status (e.g., criminal cases in which a *capias* has been issued).
- 3. Pending Motions.** This report would list all pending motions in each active pending case and show for each motion the date it was filed and the time, in days, the motion has been pending for comparison against the 120-day deadline for the court to rule on motions under Sup.R. 40(A)(3).
- 4. Cases for Possible Dismissal for Want of Prosecution.** This report would list all active pending cases that have been pending for six months without any proceedings which are not otherwise awaiting trial assignment. The report should identify the type and date of the most recent event in the case. See Sup.R. 40(A)(1).
- 5. Cases with No Next Event Scheduled.** This would list all active pending cases which are not otherwise set for trial that have no further events scheduled.
- 6. Court Trial Cases Awaiting Final Decision.** This report would list all active pending cases which have been fully submitted to the court following a court trial and are awaiting final decision. The report should identify the date of submission and the aging of the case in relation to the 90-day deadline for decision under Sup.R. 40(A)(2).
- 7. Mediation Aging Status.** This report would show, for a point-in-time, a list of all active pending cases pending in a court-annexed mediation. In addition to basis case record

¹ The term "case type" used in this document means, at a minimum, the case types specified by the Supreme Court in its statistical reporting framework under Sup.R. 37.

information, the report should include for each case the number of days the case has been pending in mediation.

- 8. Specialized Docket Aging Status.** This report would show, for a point-in-time, a list of cases placed on inactive reporting status following assignment to a certified specialized docket. In addition to basic case record information, the report should include for each case the number of days the case has been pending in the specialized docket.

B. SUMMARY-LEVEL REPORTS

The following reports constitute a recommended beginning set of summary-level management reports that trial courts can employ to monitor and control the pace and activity of their overall dockets. These reports should break down the metrics by individual case type and by aggregated groups of case types, including the case type aggregations specified in Sup.R. 39.05(B).² In multi-judge courts, the user should have the option to run the reports against each individual judge's assigned caseload, but also for the court as a whole.

- 1. Overall Caseloads.** This report provides counts of active cases pending at a point in time as well as counts over a defined period of new filings, reactivations, transfers-in, cases placed on inactive status, and cases disposed.
- 2. Clearance Rates.** This report provide clearance rates, a measure of the effectiveness of the court in keeping pace with the volume of its incoming caseload. They are calculated by dividing the total number of case terminations (dispositions plus placement on inactive status) over a defined time period by the total number of incoming cases (new filings plus reactivated, reopened, and transferred-in cases) over that same time period. The ratio is expressed as a percentage. The target is a clearance rate of 100 percent. Options should include the ability to run the measure against a series of time periods such as over a series months and over a series of years. This measure is standardized as CourTools Measure 2 within the CourTools court performance measures developed by the National Center for State Courts.³
- 3. Age of Active Pending Caseload.** This report provides a point-in-time overview of the age of the court's active pending caseload. The aging of the court's entire active docket is analyzed and presented against a series of 30-day case aging segments showing the number and percentage of cases aging between 1 and 30 days, between 31 and 60 days, and so on, up to two times the applicable case processing time standard. This measure is standardized as CourTools Measure 4 within the CourTools court performance measures developed by the National Center for State Courts.
- 4. Time to Disposition.** This measure gauges how well the court is doing at disposing of its caseload within the Supreme Court's case processing time standards. The report should display the number and percentage of cases disposed during a defined time period which

² Sup.R. 39 is currently under review by the Supreme Court and the citations to it contained in this document are reflective of the current draft amendments which are undergoing a public comment period until May 15, 2016.

³ For more information on CourTools, see www.courttools.org.

were, at the time of disposition, aged beyond the applicable primary and secondary time standards under Sup.R. 39. This measure is standardized as CourTools Measure 3 within the CourTools court performance measures developed by the National Center for State Courts.

- 5. Manner of Disposition Details.** This report would provide for each case type counts and percentages of the number of cases disposed over a defined time period through each manner of disposition, including each termination type specified in the applicable Supreme Court statistical report under Sup.R. 37.
- 6. Continuances (Summary).** This report would show, for each case type, a summary of the frequency of continuances for each defined major type of case event in each case that reached final disposition over a defined time period. This would only include events which were scheduled but did not go forward upon the request of a party or by sua sponte order of the court.
 - 6a. Continuances (Detail).** This report would provide case-level supporting detail underlying the summary data presented in the “Continuances (Summary)” report, described above. This would only include events which were scheduled but did not go forward upon the request of a party or by sua sponte order of the court. For each case with continuance records, the report would show basic case records along with detail on each continuance including the event type, the identity of the person who requested the continuance (or if the continuance was sua sponte ordered by the court), and the reason for the continuance.
- 7. Event Settings (Summary).** This report would show, for each case type, a summary of the number of times each major type of case event was scheduled in each case that reached disposition over a defined time period.
- 8. Pro Se (Lookback at Disposition).** This report would provide, by case type, the number of cases with self-represented litigants disposed during a defined period. The report would be a count of all cases disposed in which one or more parties was self-represented at any time during the life of the case.
- 9. Pro Se (Event Level).** This report would provide, by case type, counts of the number of events, by event type, in which one or more parties was self-represented. The report should include the party type (e.g., plaintiff/petitioner, defendant/respondent, or both).
- 10. Cases with Interpreters.** This report would provide, by case type, counts and percentages of disposed cases over a defined time period in which at any point during the life of the case one or more parties had a sign language or spoken language interpreter assigned by the court. This would include interpretation services in any or all three modes of interpretation (consecutive interpretation, simultaneous interpretation, and sight translation).

APPENDIX D: SAMPLE AGREEMENT FOR SERVICES

The Supreme Court of Ohio

By this Agreement for Services ("Agreement"), entered into by and between the Supreme Court of Ohio ("Court") and _____ ("Contractor"), both parties agree as follows:

Section 1: Contract Components

This contract hereby incorporates the Request for Proposal, the Contractor's proposal submission, addendums, and pricing schedules. Any additional documents accepted by the Court shall become a part of this Contract, incorporated by reference as if fully rewritten herein to the extent not inconsistent with this Contract.

Section 2: Statement of Work and Confidentiality

A. The Contractor will perform services as described in the _____, 2016 Statement of Work ("SOW") which is attached hereto. This SOW is incorporated by reference as if fully re-written herein, but only to the extent that it is not inconsistent with the terms of this Agreement.

B. Contractor agrees to perform promptly any work reasonably requested of it within the scope of this Agreement. This work is to be performed in a timely and professional manner, in accordance with accepted and established practices for the type of work performed under this Agreement.

C. Contractor agrees not to disclose to any person, other than an employee of the Court, any documents marked confidential or proprietary or any confidential or proprietary information that is obtained through or results from work performed under this Agreement.

Section 3: Work Procedures

Contractor agrees to coordinate all aspects of the work referenced in the SOW with _____ or her/his designee. The Contractor agrees to abide by the work schedules developed by _____ or her/his designee and all amendments to the work schedules.

Section 4: Compensation

Contractor shall be compensated in accordance with the SOW, and in conjunction with the completion of identified performance milestones.

A. The total amount of the compensation paid pursuant to this Agreement shall not exceed \$_____ unless both parties agree pursuant to Section 7 of this Agreement.

- B. This Contract is effective upon the date of the final signature. This Contract will remain in effect until either (1) the Contract is fully performed by all parties; (2) the Contract is canceled or terminated; or (3) the Contract expires at the end of a biennium, whichever event occurs first.
- C. No additional payment will be made for travel time or travel related expenses. The Court shall not make payment on behalf of Contractor to any fringe benefit program or retirement program, or withhold any money from compensation for any federal, state, or local tax, or for any other reason.

Section 5: Payment Terms and Conditions

- A. The Contractor shall submit an invoice for each completed performance milestone as in the SOW to the Supreme Court of Ohio, _____. A proper invoice shall include reference to the dates and location of services and this Agreement. Invoices shall be approved by _____ or her/his designee and forwarded to the Office of Fiscal Resources for payment.
- B. The Court represents that it shall process vouchers for compensation as quickly as possible through the central accounting system of the State of Ohio.
- C. The date of the warrant or check issued in payment shall be considered the date payment is made.

Section 6: Rights in Data, Patents, and Copyrights

- A. The Court and any person, agency, or instrumentality providing financial assistance to the work performed pursuant to this Agreement shall have unrestricted authority to reproduce, distribute, and use, in whole or in part, any submitted report, data, or material and any other copyrighted material incorporated therein. No report, document, or other material produced, in whole or in part, with the funds provided to Contractor by the Court shall be subject to copyright by the Contractor in the United States or any other country. Contractor relinquishes any and all copyrights and privileges to materials produced pursuant to this Agreement and any other copyrighted material incorporated therein.
- B. Contractor shall not include copyrighted matter in any materials unless Contractor provides the Court with the written permission of the copyright owner.

Section 7: Termination

- A. Contractor shall be in default under the Agreement if the following occurs and is not remedied within five business days of the date of written notice of any such event given by the Court: (a) Contractor fails to timely perform or observe any of its obligations under this Agreement, or (b) Contractor withdraws from the project and cannot provide a replacement acceptable to the Court.
- B. If the Court terminates this Agreement, the Court shall nonetheless be responsible for payment of, and shall pay, the reasonable value of all services rendered by Contractor prior to the date on which Contractor receives written notice of termination.

Section 8: Change or Modification

This Agreement constitutes the entire agreement between the parties and any changes or modifications shall be made in writing, signed by the parties, and attached to this Agreement. The Contractor may not assign any rights, duties, or obligations described in this Agreement without the written approval of the Court.

Section 9: Construction

This Agreement shall be construed and interpreted and the rights of the parties determined in accordance with the laws of the State of Ohio.

Section 10: Forum and Venue

All actions arising out of this Agreement shall be instituted in a court of competent subject matter jurisdiction in Franklin County, Ohio.

Section 11: Severability

Whenever possible, each provision of this Agreement shall be interpreted in such a manner as to be effective and valid under applicable law, but if any provision of this Agreement is held to be prohibited by or invalid under applicable law, such provision shall be ineffective only to the extent of such prohibition or invalidity, without invalidating the remainder of such provisions of this Agreement.

Section 12: Responsibility for Claims

Contractor will indemnify and hold harmless the Court from liability for injury or damage to third parties occurring during performance of activities under this Agreement to the extent caused by Contractor's negligence or willful misconduct. By operation of Ohio law, the Court cannot and therefore does not indemnify the Contractor in any way.

Section 13: Certification of Funds

The Court represents that it will have adequate funds available to pay Contractor at the agreed rate for the remainder of the current state budget biennium. However, the Court may terminate this Agreement should its appropriations be reduced by act of the General Assembly or should the grant being used to fund this project be reduced or terminated.

Section 14: Warrant of Contractor Regarding R.C. 9.24

Contractor warrants that it is not subject to an "unresolved" finding for recovery under R.C. Section 9.24. If the warranty is deemed to be false, this Agreement is void *ab initio* and the Contractor must immediately repay to the Court any funds paid under this Agreement.

Section 15: Resolution of Disputes

The Court and Contractor recognize that litigation is an expensive, resource-consuming process for resolving business disputes. Therefore, the Court and Contractor agree that if any controversy or dispute arises out of or relates to this Agreement, or any breach of this Agreement, they will attempt in good faith to settle the dispute expeditiously through mediation within thirty days. The Court and Contractor shall attempt to mutually agree as to the provider of neutral services.

Section 16: Equal Employment Opportunity

Contractor agrees to comply with Adm. P. 5 (Equal Employment Opportunity) in the work performed pursuant to this Agreement. Contractor acknowledges it has been provided a copy of the policy by the Court.

Section 17: Independent Contractor.

The Contractor acknowledges and agrees with the Court that Contractor is an independent contractor and not a public employee pursuant to R.C. 145.01 et. seq. The Contractor shall complete and sign Ohio Public Employees Retirement System form PEDACKN and return it to the Court before payment for any services will be made.

Section 18: Discrimination and Sexual Harassment

Contractor agrees to comply with Adm. P. 24 (A) (Discrimination and Sexual Harassment) in the work performed pursuant to this Agreement. Contractor acknowledges it has been provided a copy of the policy by the Court.

Section 19: Drug and Alcohol Free Workplace

Contractor agrees to comply with Adm. P. 22 (A-C) (Alcohol and Drug Free Workplace), as well as all applicable state and federal laws requiring a drug and alcohol free workplace, in the work performed pursuant to this Agreement. Contractor acknowledges it has been provided a copy of the policy by the Court.

Section 20: Contractor Certification

Contractor shall certify, by signature that the information provided is accurate and complete. Additionally, contractor declares to have read and understood and agrees to be bound by all of the instructions, contract terms, conditions and specifications of this request and agrees to fulfill the requirements of any awarded contract at the prices bid.

APPENDIX E: CMS CODE STRUCTURES – POITENTIAL TARGETS FOR STANDARDIZATION

Below are the lists of code structures that the Supreme Court has identified as potential target areas for standards development. This is a preliminary list and is based on the Supreme Court's experience with various data exchange and reporting efforts (e.g. Ohio Courts Network case data, BCI Charge Disposition reporting, Dept. of Public Safety "Do Not Buy From" reporting). Standards development would include establishing a standard list of codes and/or descriptions for each target as appropriate, and a process for adding to or updating the standards.

1. Case Related Code Structures

- 1.1. Case numbering scheme
- 1.2. Case types & sub-types
- 1.3. Case statuses
- 1.4. Case disposition types & sub-types

2. Person Related Code Structures

- 2.1. Person name convention
- 2.2. Entity name convention
- 2.3. Party type
- 2.4. Person Identifiers (SSN, BCI, FBI, etc.)
- 2.5. Person race
- 2.6. Person ethnicity
- 2.7. Person sex
- 2.8. Person eye color
- 2.9. Person hair color
- 2.10. Person feature type

3. Charge Related Code Structures

- 3.1. Ohio Revised Codes
 - 3.1.1. Charge statute code structure
 - 3.1.2. Charge statute description
 - 3.1.3. Special reporting identifiers (e.g. BMV transaction reporting, Pharmacy board reporting, etc.)
- 3.2. Local Codes
- 3.3. Charge degree
- 3.4. Charge plea
- 3.5. Charge Disposition
 - 3.5.1. Disposition codes
 - 3.5.2. Disposition descriptions

4. Sentencing Related Code Structures

- 4.1. Sentencing type/category

- 4.2. Sentence parameters
- 4.3. Common measure for sentencing (days, years, fractional years, etc.)
- 4.4. Fines/Fees parameters
- 4.5. Probation Data

5. Other Miscellaneous Code Structures

- 5.1. Protection Order type
- 5.2. Protection Order status
- 5.3. Probation type
- 5.4. Probation status
- 5.5. Warrant class
- 5.6. Warrant status