Rotherham Metropolitan Borough Council
Where Everyone Matters

Invitation to Tender

15-004 Social Care Case Management Solution

Confidentiality Statement

Approvers		
Name	Role	Date
Helen Chambers	Senior Category Manager	10/02/2015

Distribution		
Name	Role	Date
Ian Thomas		
Ian Gledhill		
Richard Copley		
Susan Gray		
Ailsa Barr		
Neil Concannon		
Steven Gauntly		
Jayne Dickson		
Sue Wilson		
David McWilliam		
Shona McFarlane		
Michaela Cox		
Darren Rickett		
Richard Douthwaite		

Table of Contents

1 Introduction

1. Instructions to suppliers

Rotherham Metropolitan Borough Council (RMBC) are inviting bids from a number of organisations who might be able to provide Services that meet RMBC's current needs for the supply, implementation, support and maintenance of a Social Care Case Management software solution and finance.

RMBC is undertaking a further competition through the Crown Commercial Service.

The Potential Provider must notify the Council promptly, in writing, of any changes at any time during the procurement process in the information submitted as part of its Crown Commercial Services tender submission. Such changes in information may include, but are not limited to, changes to the make-up of a Consortium, changes in the ownership or structure of an organisation, and changes in the financial standing and/or the technical or professional ability of an organisation. The Council retains the right to evaluate, in accordance with the specified selection criteria, any changes to the information either notified by the Potential Provider or of which the Authority becomes aware. Such re-evaluation may lead to a Potential Provider being disqualified from the procurement process where they no longer meet the specified selection criteria, irrespective of the stage of the procurement process it occurs at.

The Council reserves the right to disqualify a Potential Provider at any point during the procurement process if it is found that a Potential Provider has not informed the Council of a change in the information submitted or if the Potential Provider has submitted false or misleading information. In addition, the Council may disqualify a Potential Provider if the changes in information may lead to a significant disruption to the procurement timetable and process; the Council will endeavour to maintain a competitive process, and will use its discretion when making any such decision.

Please read this ITT before attempting to complete it.

Below is a checklist of all areas that MUST be completed. Failure to do so could result in an incomplete ITT submission and subsequent loss of marks.

Checklist		
Question Number	Description	Tick
2.1	Pricing section	
2.2	Method Statement (quality questions)	
2.3	Price variation Mechanism	
2.4	Cost drivers	
2.5	Annual Rebate	
2.6	Early Payment Discount	
2.7	Proposed alternative terms and conditions of contract	
2.8	Freedom of Information Schedule	
2.9	Intention to use Affiliates and Sub-contractors	

2.10	Proposed Key Performance Indicator Reporting	
2.11	Assumptions	
2.12	Additional Information	
2.13	Declaration of Non-Collusive Tendering	
4	Form of Agreement	

Other than to associates and sub-contractors as absolutely necessary for the submission of a bid, Tenderers must not disclose that they have been invited to submit a bid prior to confirmation of the preferred Tenderers (see 1.1.4. below).
Information in this ITT has been provided in the strictest confidence, and all recipients are required to treat all information herein as commercially sensitive.
Information provided in response will be treated with a similar level of confidentiality. However, it will be subject to examination by RMBC and any appointed agents. By responding to this ITT the Tenderer agrees to its being examined in this way.

1.1 Response Format and Return Date

This ITT has been designed as a turnaround document. You should upload the completed questionnaire and any associated attachments onto the YORtender website **no later than *16:00 on the 9th March 2015***

All correspondence in relation to this tender will be carried out through the YORtender system. It is the bidders' responsibility to ensure their contact details are kept up to date on the YORtender system. Failure to do so could result in a communications failure and subsequent elimination from the tender process. RMBC accept no responsibility in such instances and timescales will not be extended.

If you have any technical issues surrounding the use of the system you should contact the following:

Due North Technical Support Team	
By email:	yorkshiresupport@due-north.com
By Telephone: (lines open from 08:30am to 17:00pm Monday to Friday, excluding English public holidays)	0844 5434580

If when completing Section 2, you find that insufficient space has been allocated for a full response, you may create additional space, rows and columns in tables, and even entire sub-sections to enable you to provide all relevant information required to make a full assessment of your bid.

There is no need, however, to resend any information which has already been provided during the pre-qualification stage of this procurement process. Any such duplicated information and any general marketing literature included in the return which has no bearing on the bid will be summarily destroyed.

Clearly indicate on any attachments the name of your organisation and the question number that it refers to.

RMBC reserves the right to reject any document where the format has been changed.

The Council reserves the right to require some or all applicants to clarify the answers contained in their submissions, in writing, in order to adequately evaluate the submission.

1.2 Query Handling

Tenderers are requested to bring to the attention of RMBC Procurement any apparent ambiguities or errors in, or omissions from, this ITT and seek to clarify points of doubt or difficulty with this ITT. Such queries should be raised as early as possible during the tender period and under no circumstances less than one week prior to the return date specified in 1.1.1 above.

All such queries will be answered by either a simple communication to the individual/ organisation raising the query or by an up-issuing and re-issuing of this document to all Tenderers, whichever is most appropriate.
In answering such queries it is highly unlikely that any extension to the final submission date for responses will be granted.

All queries raised should be directed through the dialogue function within the YORtender system. If you are unsure how to do this please contact the YORtender helpdesk as detailed in section 1.1.1 .

In the event that Tenderers are dissatisfied with the answer to their query, or should there be matters of principle unanswered, those matters should be referred in writing to Simon Bradley, Procurement Service Leader at Riverside House, Main Street, Rotherham, S60 1AE or alternatively by e-mail to **simon.bradley@rotherham.gov.uk**.

1.3 Acceptance of Proposals

RMBC does not bind itself to accept the lowest or any bid and reserves the right to accept any bid in whole or in part.

Tenderers should be aware that acceptance of any bid does not carry any guarantee of turnover and that any estimated volume(s) of business in this ITT are indicative and may vary, upwards or downwards, depending upon RMBC’s actual future needs.

RMBC provides successful and unsuccessful Tenderer’s with a de-briefing letter following the completion of the procurement process, this is to provide feedback on the reasons why their bid was not successful. RMBC reserves the right to control the format and content of any such briefing and to limit it in any way that it determines appropriate.

1.4 Planned Schedule of Procurement Process

The schedule (which may be subject to change) for the issue of supply market enquiries, assessment of bids, and appointment of Tenderer(s) is as follows:

Milestone	Date
Issue of ITT	11.02.2015

Queries raised and resultant amendments to ITT	28.02.2015
Return date for bids	09.03.2015
Bid evaluated by RMBC procurement team	13.03.2015
Presentations	16.03.2015-20.03.2015
Preferred Tenderer(s) confirmed	23/03/2015
Decision Award Standstill Period	30/03/2015
Planned Contract Start Date	01/04/2015
Implementation Phase 1 go live (Children's and associated Finance)	December 2015
Implementation Phase 2 (Adults and associated Finance)	April 2016

1.5 Selection Criteria

We will assess all tenders on the basis of both quality and price. The evaluation of tenders will apply a weighting mechanism as shown in the table below

Criteria	% of total Mark
Quality	40%
Technical Merit	4%
Technical Assistance	5%
After Sales Service	1%
Price	40%
Aesthetic and functional characteristics	8%
Delivery date and delivery period	2%

Price Evaluation

Each individual tender will be scored as follows:

Price scores will be calculated by adding all the associated costs together to give a total cost over the 5 years of the agreement.

Marks will be awarded for price out of a maximum of 763 points. The tender with the lowest total cost will be awarded the maximum price points:

• For every percentage point a total cost is above the lowest score, the equivalent % points will be deducted.
• Points will be adjusted to the nearest whole number.

Any total cost which scores zero points or below will be rejected, and the tender concerned will not be evaluated any further.

In the event that any bid price is considered *abnormally low*, the provisions of Clause 30 (6) to (10) of the Public Contracts Regulations 2006 will apply. In summary these require the Participating Organisations to invite the tenderer concerned to account for their tendered price, and having considered the explanation, to advise the tenderer whether or not their bid will remain in consideration. Any bid verified as *abnormally low* will be excluded before the above points calculations are carried out.

Quality Scoring

The tender will be scored on the response to the details you provide both in the pricing section 2.1 and the additional information / method statements in section 2.2 using the scoring criteria stated in the tables below.

Score	Score Standards	
10	Excellent Answer	Shows a comprehensive understanding of the contract & the ability to apply and deliver all the required standards to a high level
8	Good Answer	Shows an above basic – reasonable understanding of the contract and the ability to apply and deliver all the required standards to an above basic level
6	Acceptable Answer	Shows a basic - reasonable understanding of the contract and the ability to apply and deliver all the required standards to a basic level
4	Poor Answer	Shows a less than basic understanding of the contract & that only some of the required standards could be applied & delivered
2	Very Poor Answer	Shows little understanding of the contract and that none of the required standards could be applied and delivered
0	Unacceptable answer / No answer Given	Shows no understanding of the contract and does not have an acceptable policy / procedure in place.

The score is then multiplied by the weighting applied to each method statement / quality submission. The weightings for each individual method statement / quality submission are shown in section 2.2 and are determined on the importance placed on each question by the evaluation team based on the criteria in the table below.

The total points available for quality are 1145. In striving for a high standard of quality / service any tender which achieves an unsatisfactory score (0) in any of the quality submissions or fails to meet the quality threshold of 600 points will be rejected.

Weighting	Weighting Definition
5	High importance to the contract
4	Medium - High importance to the contract
3	Medium importance to the contract
2	Low - Medium importance to the contract
1	Low importance to the contract

RMBC will be evaluating internally and externally hosted bids separately; once this has been completed a judgement will be made on RMBC preferred hosted option.

The Tenderer may be required to clarify its submission. Requests for clarification will be issued via the YORtender system. Tenderers are required to respond to requests for clarification within **3 working days.** If in the opinion of the Contracting Authority the Tenderer fails to provide an adequate response to one or more points of clarification, the Tenderer may be excluded from progressing further in the process.

Presentations/Testing

Presentations/ Testing/Site Visits of the proposed Social Care Case Management Solution , will be carried out and will carry a score of **125**

Bidders who are not within **125** of the top scoring bidder at this stage and therefore cannot obtain sufficient marks to attain the top score will not be invited to present.

They will be marked using the following criteria

Score	Score Standards	
100% of the marks	Excellent Answer	System can demonstrate that it can deliver a solution to meet required standards to a high level
80%	Good Answer	Shows an above basic – reasonable understanding of the requirements and the system can demonstrate ability to apply and deliver all the required standards to an above basic level
60%	Acceptable Answer	Shows a basic - reasonable understanding of the requirements and the system can demonstrate an ability to apply and deliver all the required standards to a basic level
40%	Poor Answer	Shows a less than basic understanding of the requirements & that the system cannot demonstrate only some of the required standards could be applied & delivered
20%	Very Poor Answer	Shows little understanding of the requirements and that system cannot demonstrate that it can deliver one of the required standards.
0%	Unacceptable answer / No answer Given	System cannot demonstrate that it can meet any of the required standards

Presentations

- Quality 100 Marks
- Aesthetic and functional characteristics 25 marks

The total price score added to the method statements score will provide a grand total of points scored and the contract will be awarded to the tenderer with the highest points overall. Tenderers should however note that if at any stage in the evaluation process, a bid is considered to be fundamentally unacceptable on a key issue (including affordability), then regardless of its other merits or overall score, that bid may be rejected.

At the preferred bidder stage of the tender process, the council may use other sources to assist them in the financial assessment and evaluation of the preferred bidding organisation, namely a credit check from Credit Safe.
If the credit check suggests that there may be an issue with a contractor's financial standing the council will always follow this up with the preferred bidder before coming to a final assessment. Based on the additional information provided, the council will then determine the financial strength of the company and may, where appropriate, seek parent company guarantees and/or a financial bond.

It should be noted that all Tenderers begin this phase of the procurement process on a level playing field. Whether incumbent or not, and regardless of the merits of responses to earlier requests for information including any pre-qualification questionnaire, only the above criteria will be used for decision-making.

2. About the Opportunity

2.1 Scope of Supplies/Service Required

RMBC has established a project to replace its existing Case Management and Finance System in use across the Children and Adults Social Care departments and to integrate with Health and other key organisations in order to improve data sharing over the next few years. RMBC requires a 'live' social care case management solution including integrated financial solution by December 2015 for Children's Services and by April 2016 in readiness for phase 2 of the Care Act for Adult Services.

2.1.1 Objectives of Procurement

The primary objective of the procurement exercise is to have in place an information platform that improves the efficiency, effectiveness and quality of outcomes for children and adults who require a service from RMBC Social Care Services and their partner agencies. These benefits should arise from enhanced data gathering, better data analysis and evaluation and improved information sharing both within the Children and Adult Social Care Services and its partner agencies.

The system / tenderer will

- contribute to RMBC and its partner agencies meeting the national priorities for the provision of health and social care;
- provide the underlying technology to support the delivery of the Care Act and Better Care Fund;
- meet the specific requirements for data gathering, analysis and information sharing;
- include a full financial management system;
- facilitate automated data gathering, analysis and information sharing in key business areas of Children and Adult Social Care Services;
- provide financial data in relation to care packages, service costs and real time information on budgets
- facilitate the business processes and workflows employed by RMBC Children and Adult Social Care Services;
- provide easily accessible management information derived from case-specific data records to enable high quality operational, tactical and strategic management of the RMBC Children and Adult Social Care Service business;
- enable a secure and stable environment wherein case data from the Children and Adult Social Care Service can be stored, archived and retrieved; and
- provide a smooth migration and transition from the existing system to the new package solution.

RMBC has a requirement to tender for a replacement to their existing social care case management system that incorporates contract management, financial processes, fully integrated workflow and links to its existing EDRMS solution (Wisdom).

Social care case records are currently managed using Northgate's SWIFT/AIS/CCM system which holds both adult and child social care records, this includes a separate database for Supporting People.

RMBC requires an integrated ICT solution for both adults and children's social care that supports the operational, tactical and strategic management of social care services and that facilitates risk management, service contract management, financial / budgetary management and the management of a case from assessment to the delivery and payment of a care service.

The solution will provide a view of services delivered to an individual and provide a holistic or 'family' view of relationships and information associated with an adult or child.

The solution will need to be locally configurable by Administrators with technical knowledge but without the need to write code. Costs should include support for initial local configuration for both Social Care and Finance elements.

The system will generate payments to providers and charges to individuals in line with RMBC policy and the system will be able to provide the necessary requirements for Care Accounts for adult citizens.

It will be flexible, easy to use, intuitive and capable of being integrated with core Council systems. It will also be accessible securely by RMBC staff, and by their public and private sector partners, using web based technology to support case reviews and to develop and maintain action plans.

2.1.2 Key Business Objectives

Our objectives are:

- To fully implement an integrated ICT solution for Children's Services by December 2015 and by April 2016 for Adult Services in readiness for phase 2 of the Care Act.
- Deliver a solution that is universally recognised by staff as being a significant improvement on existing arrangements
- Deliver a solution that fully exploits modern technologies and supports joined up, anytime, anywhere working.

A single view of service users and their relationships is a key strategic goal for the solution which should support:

- The requirement to manage a case from assessment to delivery of a care service, including costs and payments and also keep a record of children and vulnerable adults who are not currently receiving services from us but who we are aware of
- The requirement to develop a holistic or 'family' view of relationships and information associated with an adult or child
- The requirement for different services/teams to be able to interface with the same record on an open case
- The requirement for relevant RMBC staff and partner agencies to have access to an electronic case file to support case reviews and to develop and maintain action plans
- The requirement to link systems together to enable the flow and connectivity of data in order to share intelligence and minimise manual data inputting
- The recording of financial information against both individuals and contracts.

2.1.3 Issues We Need to Address

- Ability to keep up-to-date with ongoing changing government requirements.
- Integration between systems
- Electronic Social Care Records (ESCR) has driven the strategy of ensuring all aspects of
- Social Care are recorded in a consistent way and preferably in a single system. Some areas of functionality around the periphery of care provision have historically been outside of the core system.

The system must support all aspects of Social Care as carried out within Children and Adults service in the 21st Century. Specifically there are government requirements around the Care Act and increased partnership working across agencies.

The system must enable us to meet all relevant legislation and security requirements to keep records and information safe and secure. It must be seen as assisting and not delaying or hindering social workers and other users. The system is required to support us in monitoring and evaluating the work we do and therefore reporting and data management functionality is essential.

The system must cover the functions currently delivered by Children and Adult Social Care Services. It will be required to integrate with other systems, such as the

- Electronic Document Records Management System (Wisdom)
- Electronic Home Care Monitoring (Webroster)
- Financials (e5 ABS)
- Sundry Debtors (Civica)
- Revenues and Benefits (Northgate)
- Education (Capita One/EMS)
- Housing (Civica Universal Housing)
- Call Monitoring (Jontek)
- GIS (Civica Community Maps)
- Corporate Violent Customer Database (in house solution)

2.1.4 Expected System Users

The system is to be supplied to professional staff involved in cases who may be working for the Authority or partner organisations. There are currently:

- 2000 Registered system users
- 1500 Regular system users
- 300 - 350 Concurrent users

Users may:

- be in a variety of locations that are geographically widespread;
- be using varying capacity network connections;
- potentially have multiple sessions open;
- be using various clients including but not limited to desktop, laptop, Citrix;
- not be an RMBC employee (e.g. partnership working); and
- be working concurrently.

The estimated value of this service contract over the initial 5 year term is approximately £1.5m - However this does not carry any guarantee of turnover and any estimated volumes of business are indicative and may vary upwards or downwards depending on actual future needs.

Rotherham Metropolitan Borough Council is undertaking this process as a further competition under the Crown Commercial Services RM1059 Local Government Software Applications Lot: 6 Social Care Systems

The details set out in this ITT are given in good faith and believed to be correct. However, RMBC does not warrant the accuracy of those details and each Tenderer should make its own appropriate enquiries.

2.3 Specifications

2.3.1 General Requirements of the System

	Requirement	Comments
(a)	The Council requires an integrated ICT solution for both adults and children's social care that positively supports safeguarding, risk management and the management of a case from assessment to the delivery and payment of care services. The solution will provide a view of actions	

	Requirement	Comments
	taken and services delivered to an individual and provide a holistic or 'family' view of relationships and information associated with an adult or child. It will be flexible, easy to use, intuitive and capable of being integrated with core Council systems. It will also be accessible securely by Council staff, and by their public and private sector partners, using web based technology to support case reviews and to develop and maintain action plans. The solution must be compliant with the Data Protection Act (DPA) to protect personal data, facilitate the lawful sharing of information across partners and other organisations (see requirements in section 2.3.10)	
(b)	To fully implement an integrated ICT solution for children's and adult social care and finance by December 2015 and April 2016 respectively.	All functionality, including the Finance management must be made live together.
(c)	The system should be easy to use in terms of logical and simple screen layout for frontline staff with ease of transfer between functions. A web based user interface should be provided, with a range of navigation options including menus, hotkeys, use of mouse, and tabbed navigation presented to the user in plain English. System login and response times should be quick to cope with the busy working environment. Context appropriate online help should be available.	By easy to use the expectation is that a user with no prior experience of using the system would be able to use the system with the system guidance notes to perform core activities.
(d)	The system must be established, supported and licenced for RMBC to have multiple instances of the system to support LIVE, DEVELOPMENT, TEST, TRAINING (separate children's and adults with facility to rollback), AUDIT (a cut of adults data at a particular date in time).	

2.3.2 Electronic Forms

	Requirement	Comments
(a)	The system must have a form based, user configurable, process linked (workflow) electronic data capture process, or enable a third party form application to interface directly with the system.	
(b)	The forms must have functionality to be able to be pre-populated with data from Service Users record, case notes, referential/partial or complete contents of previously submitted forms and allow for the creation and updating of service users data. This should be definable locally. Ability to save partially completed forms and update the Service Users record, in real time,	• Pre-populate the forms with a Service Users details/demographics / personal contacts (e.g. Next of Kin) / reference numbers • Details of current service packages / financial details to be

	Requirement	Comments
	at the point of validating and saving a form.	displayed in review forms. • Details of needs from referral – through to assessment. Answers to questions/service needs
(c)	Electronic forms must have the functionality to add different types of fields to a form and data validation and the ability to define mandatory (or conditionally mandatory) questions, and link workflows to specific fields or content types of forms. Additionally the system should cater for the ability to apply different validation at different points of a business process. For example, these points could include: • Creating records • Referrals • Assessments • Case closure	
(d)	Electronic forms functionality must be simple and easy for staff to use, simple to start a form, quick and easy to navigate through a form to record / find information, form broken into logical sections. Our definition for "easy to use" is: • Ability to have checklists • Intuitive -data pre-population from previous forms / fields • Unlimited character counts on free format text fields • Ability to format text using standard MSWord features • Spellchecker	
(e)	Electronic form functionality should include ability to format text fields. E.g. bold, underline, bullet points.	
(f)	The system must provide quick, user friendly printing of electronic forms to different document formats. e.g.: Including the ability to • Amend the font size of the print out for accessibility • Print an incomplete blank form, • Formatting /layout of the form on the screen must be the same as the print out.	
(g)	Electronic Forms should have the ability to print additional documents / letters as part of the output functionality. e.g.: Output Letters / standard Document templates that require service users signatures – (e.g. Direct Payments agreements).	
(h)	Electronic forms can be linked to unique system identifiers, such as Case ID wherever dealing with system data.	If the form relates to cases, it should use the case identifier, if the form relates to a service user, it should

	Requirement	Comments
		use their id and addresses should use the UPRN.
(i)	Ability to remove redundant forms to prevent access to old versions whilst retaining originally completed forms.	
(j)	Electronic Forms must have the functionality to restrict viewing / usage of forms to defined users or user groups.	
(k)	Electronic Forms must have the functionality to record data for Children's / Adults Statutory returns (SALT, CIN). The system must be capable of recording data which enables the provision of statistical returns as required by the Health and Social Care Information Centre.	
(l)	Ability to track the journey of the citizen through use of event logs / audit trail.	
(m)	The system should have the functionality to be able to scan in hand written notes into an electronic form and then link this to a workflow item.	
(n)	The e-Forms must output into and be able to retrieve documents from the Electronic Document Records Management System (EDRMS).	Must include ability to link to events in Case Management System
(o)	The System should provide safeguards against data loss during data input. The system should not commit the changes until the user has marked the form as complete and the data has been validated. Any data entering during completion of the form should be auto saved but the record should not be updated until the change is committed.	e.g. Automatic periodic saves or save on timeout Record lock during update etc. To avoid completing the wrong sections of the forms. Particularly relevant to complex forms where section completion is dependent on answers in previous sections. Need to be able to remove/hide some information on forms if copies are sent to service users in particular circumstances e.g. domestic violence.
(p)	The ability to have questions that direct you to specific questions and skip unrelated questions dependent on the answer (for example, if you answer Yes to Q1 skip to Q5).	
(q)	The ability to use hyperlinks within the assessment. Allowing navigation to different parts of an assessment and to external information such as training / guidance notes.	

2.3.4 Data Validation

	Requirement	Comments
(a)	The system must provide a UK spell check and grammar check functionality when electronic forms are being used prior to saving the data.	The spell check functionality should be on all of the time.
(b)	The system must provide field and screen based data entry validation at the point of entry. This includes but is not limited to: • Dates and date time format to be consistent • Date Of Birth/age – these should be within an expected range • EDD and weeks' gestation • Postcodes – linked to the NLPG address web service • Address entry should be primarily from an NLPG pick list • Alpha/numeric data checks • Shortcuts • Default entries – the system admin team can configure and maintain a set of drop down lists to speed data entry • Sense checking & warnings	It would be useful for the system to automatically calculate weeks gestation where EDD is provided instead of DOB
(c)	The system should allow for configurable data validation, particularly on mandatory fields.	
(d)	For Validation errors the system should highlight to the user what mandatory information is missing or which data fields have been completed in the wrong format and prevent completion/sign-off until missing data is populated. Validation messages should be in plain English.	
(e)	Validation of data entered must be in real time as the user is completing the form.	
(f)	Post completion validation must highlight which fields have not been validated.	
(g)	Data validation within forms and fields must be configurable.	

2.3.5 Mobile Working

	Requirement	Comments
(a)	The solution should support mobile working arrangements and accessing the system via Citrix or VPN.	
(b)	There must be a synchronisation facility to allow staff to check out cases from the Care Management System and work off line using e-Forms and Workflow and then check back in.	For example a Social Worker would be able to check out a case file before a visit and check back in when the network becomes available.
(c)	If the case has not been checked in after 24 hours, the case should automatically be checked back in.	
(d)	Mobile working solutions must work in in	

	conjunction with workflows, e-Forms and system security.	

2.3.6 User Interface

	Requirement	Comments
(a)	A single interface should be presented that brings together Case Management; Workflow; and Electronic Document Record Management System (EDRMS).	
(b)	The UI must be able to render and maintain all functions on any resolution screen	
(c)	The system should cater for users of all abilities. • Novice / Occasional users • Familiar controls and easy navigation. • Experienced Users / Power Users • Short Cut keys and other optimisations such as keystroke shortcuts, macros and definable function keys	
(d)	It should be possible to use the system with a keyboard alone.	
(e)	All system forms must have the functionality to • Save and Return to a half completed form; • Save and Continue a half completed form; and • Finalise / Submit a form once complete.	Ability to change forms upon completion but with an audit trail of who and what and when the document was changed. May be configurable to only allow certain fields to be changed.
(f)	It is a requirement that these functions also be available via the forms designer to apply to any locally defined forms.	
(g)	The system should provide functionality that will assist system users to enter data in a time effective manner. Functionality should cover areas such as • Pre-population of form fields where data is already held in the system; • Auto completion of fields where rules have been pre-defined (including but not limited to review dates); and • Carry forward of data from one process to another (including but not limited to RAS indicative budget to support planning). Ability to overwrite prepopulated fields.	
(h)	The system should provide functionality that will allow individual users to 'bookmark' or create 'quick links' to certain parts of the system that are used on a frequent basis. These sets of links should be easily accessible for users each time they log into the system.	
(i)	Menus should be configurable.	
(j)	Ideally staff will use a lightweight web browser interface. The system should support all current browsers and allow staff to	

	Requirement	Comments
	access the system from handheld devices.	

2.3.7 Accessibility

	Requirement	Comments
(a)	All interfaces of the system must meet all statutory obligations defined in the Equality Act 2010 and evidence this.	
(b)	Users should be able to personalise the presentation of screens to accommodate their visual needs.	
(c)	The user interface must be wholly compatible with Microsoft OS accessibility features (for native clients only, not web based interfaces). Features include Microsoft Narrator, Magnifier, Speech Recognition and On Screen Keyboard e.g. Dragon Software.	
(d)	The system and any outputs generated must be compatible with accessibility software including but not limited to • Jaws; • ZoomText; • Dragon Naturally Speaking	
(e)	Output from the system is adjustable to cater for visual impairments.	
(f)	Outputs from the system should be printable in a form that should be accessible by users with sensory impairments and other communication and learning difficulties.	We understand that as part of the business processes we will need to ensure that the data and the forms are fit for purpose and accessible for all.
(g)	Ability to translate output into foreign languages.	
(h)	Any online public facing interface must adhere to the standards defined by the World Wide Web Consortium (W3C).	
(i)	RMBC's preferred browser is Internet Explorer 8 or higher but it may also be necessary to deploy the system across other browsers depending on future requirements.	

2.3.8 Performance of the System

	Requirement	Comments
(a)	Transactions / interactions should complete in less than five seconds for both the mobile working module and the full client application i.e. this is the time a user may wait from requesting an action until they are able to proceed with their next task.	We understand that this will only be possible within the confines of the delivery network.
(b)	Users must not be expected to wait more than five seconds for a screen to load.	As above
(c)	Where an operation may take longer than five seconds – a real time progress bar should inform the users how long the system is likely to take.	
(d)	System performance must not be compromised when utilised in a highly	

	demanding concurrent user environment such as Children's Social Care and Adults Social Care.	

2.3.9 Configuration of the System

	Requirement	Comments
(a)	The system should be locally branded. Branding will apply to all screens / forms / reports.	
(b)	The system should provide localised screen layout including recent history of client records and top tasks. Screen layout should be configurable by the system administrator.	
(c)	The launch screen for each user should be definable.	
(d)	The 'look and feel' of any online public facing interface should be locally configurable.	

2.3.10 Joint Working and Information Sharing

	Requirement	Comments
(a)	3rd parties (such as schools, police, health, job centre) should have restricted access within the system to be able to create, access and update records. This should include the ability to generate messages to support multi-agency working.	
(b)	The system should support 3rd party access and in particular: • The type of data that the system will be able to share with other agencies; • Links with the Personalisation agenda; • Security; and • Conformance to standards (including but not limited to HL7).	
(c)	The system should be able to integrate with the NHS Data Spine Services.	The intention is to use the NHS ID as an identifier for each client.
(d)	It would be of benefit to implement a means of automating the creation and updating of Section 2 and Section 5 records using messaging from hospital systems (currently using STRATA Health although this may change).	
(e)	A desirable requirement would be on-line access (and update) to the Personal Demographic Service) for on-line retrieval of NHS Number.	
(f)	The system should have the potential to link with the NHS Summary Care Record.	
(g)	The system should support additional two factor authentication and allow for this to be flexibly applied for some system users. In particular, the system should enforce	

	Requirement	Comments
	secondary authentication by NHS smartcard when a system user is accessing services within the NHS Care Records Service (e.g. the Personal Demographics Service on the NHS Spine).	
(h)	Experiences of connecting to secure Government recommended networks such as N3, GSi.	
(i)	Longer term RMBC want to be able to integrate with other services such as DWP, Probation, Courts and Police. Experience is required in developments of this nature.	

2.3.11 Online Help

	Requirement	Comments
(a)	Systems error messages need to be locally definable.	
(b)	If an error is made when entering data, the system should highlight the field where the error has been made and take the user back to the field improperly competed.	
(c)	The system should allow for the insertion of hyperlinks for guidance to be inserted on screens and in online forms.	For example a hyperlink to Tri-x System or policies and procedures that workers may need to refer to.
(d)	There needs to be consistency between different screens and modules in how the system is presented to the user and front end functionality.	

2.3.12 Case Management Requirements

(i) Workforce Management

	Requirement	Comments
(a)	The system must hold details of all staff in Adults and Children's services, including name, role, location, date started and team, and contact details. This could be through synchronisation with Active Directory or HR data extracts.	
(b)	The solution provided must be flexible / adaptable enough to cater for new staff/staff movements within the authority and staff ceasing employment or moving between teams.	An example is where a staff member may be 'acting up' into a managerial role taking on additional responsibilities and

	Requirement	Comments
		therefore may require a system role change for a set period of time.
(e)	The system must be able to record details for staff that are not employed by RMBC along with their role (e.g. temp, casual, volunteer, student etc.).	Care workers and other people who have contact with service users are considered as 'staff' but are not necessarily on RMBCs Payroll.
(f)	There should be a facility which allows bulk updates, such as move all team members from one team, and associated codes, to another team.	For example to be able to move all or part of a team.
(g)	System must have the ability to record Service User and Staff absences – for a period of time / whole days / week. Or for a particular type of service / call only. This prevents an • Ability to absent a particular call in a day whilst keeping the rest • Impose a recurring absence • Cancel whole days or longer periods • Make sure that if a period is absented, then no call can be booked during that time period (M) • Absence reason/type e.g. homecare/residential care/day care staff only	
(h)	The system should support the monitoring of attendance at appointments booked for staff where mobile working arrangements are in place.	To check whereabouts of mobile workers and make sure they arrive at and leave appointments safely.
(i)	The solution should include Performance Management /Management Information tools and the system must have: • A graphical live dashboard • The ability to view workload of workers and/or team (caseload / complexity / expenditure) These are expected to be dynamic in behaviour enabling the user to “drill down” from the live dashboard to a specific item by double click or similar style interaction.	

(ii) Case Management

	Requirement	Comments
(a)	The System must support the case management of Adults / Children / Carers / Providers (RMBC providers and non RMBC providers) social	

	Requirement	Comments
	work.	
(b)	The system must support the recording of all elements of social care case management: Referrals, electronic forms, workflow and case notes on different types of records (Adult / child / carers / provider org).	
(c)	System must have the functionality to record/update detailed person records – Such as Name, Address, Demographic Information, Ethnicity, Religion, Language and Orientation (Adults / Children/ Carers) That can be pre-populated into/ updated from within Electronic Forms e.g.: • Name, ID, DoB, gender, role, address, accommodation, tenancy type household type • Accommodation attributes should be mandatory and in line with household types	
(d)	System must have the functionality to record / update Social work specific personal details. That can be pre-populated into/ updated from within Electronic Forms e.g.: Needs / Client type classifications Mental Health Legal status (e.g. Section 117 / Community Treatment Orders) Re-ablement Goals / Outcomes / FACS levels	
(e)	System must have the configurable, flexible functionality to record a Service User (Adult / Child) professional and personal contacts / family details. e.g.: GP, Health Visitors, Parents, Carers, Next of Kin	
(f)	System must have the configurable, flexible functionality to record/update Team and Worker Allocations. Start /end date, allocation type Allowing for multiple overlapping worker / team allocations	
(g)	System must have the functionality to present a summary of a Service Users Case / Personal details, including an overview of family group. • Date case opened • Current status of case / electronic forms / workflow • Traffic light indicator to show if case is being managed in line with agreed timescales (children in care) / warning indicators	

	Requirement	Comments
	• Summary of personal details / allocated team & worker • Summary of current services / providers • Historical record of events pertaining to the case • High risk file warning • Security flag - if the case has been restricted Services: • LAC status / legal status/ Child in need/ Child Protection/ Child in Care • CAF • YOT order • Priority Family Assessment CAMHS • Education Welfare •	
(h)	System must have the functionality to configure automatic alerts and reminders or traffic light status to be displayed on a Service Users record / Worker / Team caseload. And for workers to plan visits / tasks as part of a case.	To alert Social work teams when a review is due (4 week / annual etc.) (and flag up to management when a review not completed).
(i)	System must have the ability to record a Unique Case ID number, allowing for different elements of a social work case to be linked by a unique ID. And the ability to cross reference different elements of social work recording to multiple persons / e.g. for Safeguarding Investigations – to link all referrals / forms / workflows / case notes pertaining to a specific investigation. e.g. copy a case note to multiple related children.	
(j)	The system must hold one logical file for each case with one unique case reference number.	
(k)	The system must produce a unique ID number for families in order to be able to link a group of individuals for reporting and tracking purposes.	
(l)	System must have the functionality to record/update File Warnings / Alerts on Service Users records / Provider records. Which must be prominently displayed to staff when viewing a service users record.	
(m)	System to be able to automatically send out alerts via e-mail to external and internal addresses based on user defined criteria. Communications of this kind should be encrypted.	

	Requirement	Comments
(n)	It must be possible to associate one or more roles to a person. An individual may have multiple concurrent roles.	
(o)	The system shall provide the ability to search the entire index. System users must be able to complete complex searches using partial information across a number of data fields.	
(p)	There must be a search tool which includes the use of "wildcard" characters and soundex functionality. Searches which include names need to search multiple name fields (e.g. surname and aliases).	
(q)	The system must display search results with the following information: individual / case reference ID number; DoB, NHS ID, all known active addresses.	
(r)	The system is to allow the recording of registrations and legal statuses.	
(s)	The system must have the ability to capture 'unique identifiers' and references from other internal and external systems. For example, NHS number, National Insurance number, other system IDs. A requirement of the system is that unique identifiers and reference fields are searchable by users. Validation should be available to ensure the unique identifiers and references are entered into the system in a specific format.	
(t)	If a unique identifier is already in use when a new record is created/ existing record amended the system must flag this as a potential duplicate to the user and display high level information about the duplicate.	
(u)	The system must provide the ability to record property access information including key safe information and contact details for key holders.	
(v)	It must be possible to capture alternative names, for example spelling variations or aliases – it is a requirement that all fields are searchable.	
(w)	It must be possible to capture all previous names and addresses with associated dates – it is a	

	Requirement	Comments
	requirement that all fields are searchable.	
(x)	The system must allow multiple address types to be captured including but not limited to main, correspondence, hospital, temporary, invoice.	
(y)	Different correspondence details to main correspondence must be highlighted on the front 'page' of the case.	
(z)	The system must provide a mechanism to perform a change of address against an individual's record or against one or more family member/s depending on the circumstances. The change of address must include associated dates.	
(aa)	The system user must be able to record a date and time against each action or activity relating to the case. In addition to the pre-populated date and time the data was entered.	
(bb)	The system should provide automatic reminders of, for example, review dates and automatic generation of standard letters and forms which should be logged against the relevant case.	
(cc)	The system should provide a facility for recording the progress of individual cases against the defined milestones for that case (including but not limited to return by dates, review dates) and to flag up delays. Triggers to notify where a response has not received the expected response should be incorporated so that reminders can be sent out if appropriate.	
(dd)	It must be possible to record the allocation of cases to workers.	
(ee)	The system shall allow the recording of activities against a case undertaken by workers who are not the allocated workers but have a role within the case.	
(ff)	The system should support the supervision of casework by enabling designated managers to document approval / sign off casework at specific dates or when specific events take place in the case.	
(gg)	The solution must have facilities for recording service user consent to share data. The system must support consent requirements from clients	

	Requirement	Comments
	and from relevant professionals engaged with the case (including but not limited to NHS staff).	
(hh)	The system should allow multiple sessions to run to allow cases to be worked on concurrently.	
(ii)	Where there are multiple worker involvements on a case, it is a requirement that it is possible to close the involvement of a worker or a team without closing the case.	
(jj)	The system should include functionality to support the transition of a service user from Children's services to Adult services. This includes but is not limited to • Recording an assessment, creating a care plan and commissioning services for a service user under 18 years of age; and • Recording data taken from the Children's system including but not limited to core data, services received, child protection, contacts, reviews, case records, statement of special education needs, benefits.	
(kk)	The system should include functionality to support the transition of service users from under 65 years of age to over 65 years of age. Including but not limited to • Transition to Older People services; and • Changes to benefits, pension payments.	Age driven rules should be locally configurable.
(ll)	Ability to restrict access to a record based on user profile. The system should display basic information such as the allocated team / worker when the record is accessed by a non-authorised user.	
(mm)	Where a service user is deceased there must be a clear flag / warning on the record and defaulted on all outputs.	
(nn)	Ability to link records and or merge records in the system where a duplicate record has been created.	
(oo)	When entering a new client, the system should automatically check for duplicates and return a list of matching records using fuzzy matching.	
(pp)	Ability to keep a client record open for review even though no other services are being provided.	
(qq)	The system must provide functionality for bulk data updates or	This should include but is not limited to the

	Requirement	Comments
	case closure.	ability to update: • Classifications • Bulk closures • Delete assessments • Whole changes to cost codes • NHS Number upload
(rr)	If the case is to be closed the system should automatically close down all associated actions, events, assessments etc.	Ideally a checklist of actions/events etc should be presented to the user prior to closing the record. The user should then be able to select which items to close. If there are outstanding actions the system should display a warning message to the user. The functionality to close cases would need to be restricted by user profile.
(ss)	It must be possible to access all active and historic cases (within appropriate retention periods).	
(tt)	It must be possible to 'lock down' access to certain records to restrict access to a pre-defined group of users.	For high profile and sensitive child protection cases.
(uu)	The system must be able to capture multiple authorisations of forms / processes.	

(iii) Case Recording

	Requirement	Comments
(a)	Users should be able to view multiple electronic forms relating to the same record simultaneously without needing to close the form currently worked upon. They should also be able to work on multiple forms concurrently. Multiple users should be able to access and update the same record simultaneously providing changes or additions to those records. The system must manage concurrent actions whilst maintaining data integrity.	
(b)	Ability to be able to automatically create individual case note entries for	

	Requirement	Comments
	designated activities that have been initiated by the system.	
(c)	Ability to automatically create case note entries which are system definable i.e. can be switched off for particular activity types.	
(d)	All case note entries must have the following attributes • Date / time recorded; • Date / time of interaction (default as date recorded); • Recorded by; • Team; • Category / type; • Descriptive content; and • Role of person making entry • Child seen (children's case recording only)	
(e)	Ability to record manual day-to-day 'case notes'.	Telephone calls, meetings, visits, etc.
(f)	When a system user views a case, the case notes are displayed continuously in a readable aggregated format.	
(g)	Case notes should be displayed in chronological or reverse chronological order as required by the user.	Ability to order by date recorded and date of iteration would be useful.
(h)	When viewing case notes, the following filters should be available: • Dates; • Category / type; • Recorded by; and • Team • Role • Child seen (Children's case recording only)	
(i)	Ability to have an advanced search facility within 'case notes' for example key word search.	
(j)	The system should allow retrospective case note entries to be entered accompanied by an appropriate warning to the system user.	
(k)	That the system must be able to display 'case notes' based on end users roles. Mandatory fields & pick lists. Include access security e.g. restrict certain case notes that the user role does not need to see.	Mandatory fields & pick lists. Include access security contextualisation.
(l)	Case notes must have the functionality to be recorded on different person roles / organisation records within the system.	e.g. Adult / Children / Carers / Foster Carers / Service Providers.
(m)	It must be possible for 'case notes' to be duplicated/cross referenced across multiple service users records.	To support the ease of multiple data entry.
(n)	Ability for 'case notes' to be protected and immutable or that changes are logged, time stamped and show the	

	Requirement	Comments
	name of the user who applied them.	
(o)	It must be possible to partially save a case note.	
(p)	Ability to maintain a clear audit for integrity of data changes including case access history.	For information used in court
(q)	Ability for case recording to be linked to a unique case id.	See case management
(r)	Ability to store recordings of telephone calls as audio files within case recording.	

(iv) Chronology

	Requirement	Comments
(a)	Chronologies are similar to case notes but have a clearly defined and specific purpose in the delivery of Adult and Children's Social Care Services. A clear distinction should be evident between these two recording mechanisms with evidence of an understanding of their purpose and the differences between them.	
(b)	The system must be configurable to create chronology/reverse chronology of significant events.	Case notes included into the Chronology need to be “editable”
(c)	Ability to automatically create chronology entries for designated activities that have been initiated by the system.	
(d)	The automatic creation of chronology entries should be system definable. i.e. can be switched off for particular activity types.	
(e)	The system should provide a facility to manually create chronology entries.	
(f)	All entries should have the following attributes • Date entered; • Date recorded; • Recorded by; • Category / type; • Sub category / type; • Summary (one or two lines); and • Descriptive content.	
(g)	The system should provide a facility for retrospective chronology entries to be entered.	
(h)	When a user views a case chronology entries should be displayed continuously in a readable aggregated form.	
(i)	Filters should be available to allow chronologies to be restricted • Date entered; • Date recorded;	

	Requirement	Comments
	• Recorded by; • Reported by (social worker, Police, other authority etc.); • Category / type; and • Sub category / type	
(j)	Chronology entries, once input into the system, are immutable by the system user.	
(k)	It should be possible to produce custom chronologies for viewing or output. Service users chronologies should be editable prior to output.	
(l)	It should be possible to produce a snapshot of either the full or a selected range of chronologies for a specific user definable date range for a service user.	
(m)	To be able to mark whether the system or user entered case note should display in the chronology.	

(v) Contacts and Referrals

	Requirement	Comments
(a)	It must be possible to record 'Initial Contacts' & 'Referrals' – allowing collection of service user details / details of the referral.	Record referral - a request for services (Adults) or information (children's) (details: e.g. type of referral, date, source, method, referrer details).
(b)	Ability to retrieve with ease historical initial contact/referral information.	
(c)	Ability to record & manage referral timescales for statutory returns and trigger authorisation requests to team managers within timescales.	Ability to 'pause' the referral workflow in some circumstances (e.g. not medically ready).
(d)	Ability to cater for Internal referrals.	Internal between Children/Adult Social Care Teams.
(e)	The system must be able to support the recording of all outcomes of an initial contact/referral and commence a workflow or multiple workflows.	Outcomes should follow prescribed workflow paths e.g. SALT.
(f)	Ability to support case recording of non-social care cases e.g. Fairer charging	
(g)	To be able to separate referrals by service area e.g. Children's social care referrals, adults social care referrals.	There must be more than one referral type.

(vi) Relationship Recording

	Requirement	Comments
(a)	The system must facilitate the easy	

	Requirement	Comments
	recording of a personal or professional relationship between multiple parties known to the system. A party includes but is not limited to individuals, teams and organisations. It must be possible to record carer's details and people they care for, whether the person or people cared for are being provided with services or not.	
(b)	Relationship types available are locally definable.	
(c)	It must be possible for both parties in a relationship exist in the system as separate entities with ID numbers.	
(d)	The system should allow relationships to exist between an individual and an organisation.	
(e)	The system should allow default start dates to be applied where appropriate.	
(f)	The system must display clearly all relationships to a person in the system both current and historic.	
(g)	The system should allow a filtered view on relationships e.g. personal, professional, allocation, all, within a specified time period.	

(vii) Staff Warnings

	Requirement	Comments
(a)	The system must provide the ability to record staff safety warnings /alerts associated with an individual, case or a particular property. Need to ensure that staff warnings are easy to access when viewing a service user record. Other systems record alerts at a property level rather than a person level. Therefore, it may not always be possible to link a warning to a person.	
(b)	To be able to integrate with or provide a hyperlink to the Violent Incident Database.	This has been developed locally.
(c)	The system must support the local configuration of risk classifications relating to staff alerts/warnings.	This will enable RMBC to define classifications of risk at a corporate level.
(d)	The system must prominently display alerts to the system user when the system user first accesses a service user's record.	Has to be obvious that there is a staff alert.
(e)	The system must support the recording the of the following information in association with a staff alert/warning: • Date the warning applies from • Risk classification • Level of risk associated with the incident	

	Requirement	Comments
	• Details of the incident • Actions to be taken by staff to mitigate the risk of harm to themselves and others • Details of who to contact for further information • Date that the alert/warning needs to be reviewed by (Will need to be able to amend this date to a future review date) • Date that the alert / warning is closed down • Reason why the staff alert/warning has been closed • Notification when the review date has passed	
(f)	The System should support the flagging of incident related information that should not be shared with other areas of RMBC or RMBC's partner organisations and the reasons why.	Whilst actions to be taken should be shared, the reasons why an alert has been recorded should not be circulated in all cases. For example due to the provisions of the Mental Health Act. Recent case law relating to the Human Rights Act has established that staff alerts should only be shared with staff/partner organisation that are likely to have some contact with the person whom the alert is against. In domestic abuse cases, it may be necessary to protect the whereabouts and identity of a service user from potentially violent known associates/family members of the service user.
(g)	The system must allow historical/closed alerts to be viewed.	There may be a need to view historical alerts for a period of time after the alert has been closed. This information may help inform decisions about subsequent incidents or safeguarding issues.
(h)	The system should support the archiving and deletion of staff	To comply with requirements of Data

	Requirement	Comments
	alerts/warning information.	Protection Act.
(i)	The system should support the ad hoc reporting of staff alerts, combined with key information about the service user including but not limited to: • Id/case number • Name • Address • Postcode • Date of birth • All details about the staff alert • Case notes associated with the incident.	

(viii) Workload Management

Mechanism to allocate, track and manage work within the system by system users and managers.

	Requirement	Comments
(a)	System must provide caseload / workflow and task management to appropriate levels of users – social workers /other workers/ team managers level/ service manager level in consistent format and assign a specific identifier to an individual.	
(b)	All system users must have an 'in tray' which identifies all the current work that they have in their queue with relevant information including but not limited to deadlines, escalation dates.	
(c)	Management have a view in the system which provides all the current work queued for their team(s) and a view of workers current case load activity status.	
(d)	The system should allow workflows to record the potential effort likely to be required to complete a task. This will be available in various views to enable basic capacity planning.	
(e)	Ability for managers to reallocate workflow tasks to other team members and other teams, for example, to manage staff absences or workloads.	
(f)	When viewing work in an 'in tray' a user should be able to use shortcuts to move to the case management system i.e. easy navigation for the user to the relevant case. A user may therefore	

	Requirement	Comments
	effectively use the 'in tray' as their 'home' page.	
(g)	The system should allow a user to sort their 'in tray' using a number of different methods including but not limited to review date, client name.	
(h)	It should be possible for managers or deputy managers to delegate their responsibility to another manager, deputy manager or a worker to provide cover when they are unavailable.	
(i)	The system should enable Managers or other authorised users to view allocated and unallocated cases from the workload screens.	
(j)	The system should have the flexibility to create duty 'in trays' and / or waiting 'in trays'. It should also be possible to allocate work to a team and sub team folder(s).	
(k)	Ability to allow an authorised user to reallocate all or part of the caseload of a worker to another worker.	
(l)	Ability for managers or other authorised users to be able to prioritise unallocated work.	
(m)	It must be possible to change the Priority on a regular basis and sort the unallocated work list by several sort categories.	

2.3.13 Messaging

	Requirement	Comments
(a)	Ability to send messages to system users within the system so that they form part of the client record.	

2.3.14 Transitions

	Requirement	Comments
(a)	Ability to view/update information relating to Children/Adults cases and for it to be accessible in both systems. Must include the facility to easily transfer data between Children's Services and Transition Team, resulting in a seamless transfer from Children's Services to Adult's Services	Proactive care provided to children in transition to Adult service; better decisions made as a result of understanding the case history. Need for both Adults and Children's workers to be able to view/update cases easily and have a full view of the family/cases involvements particularly for Learning Disability and Physical & Sensory Impairment cases.
(b)	Ability to set up specific workers to view Children's Information	Share information. May require restrictions to certain types of information, Adoptions/Fostering, Child Protection
(c)	Ability to record a plan with a planned date as the young person's 18th birthday and update with Operational Date	

2.3.15 Children's Specific Requirements

Children's social care covers a wide range of statutory functions. The system should support the delivery and monitoring processes of safeguarding and social care to children and young people from early intervention, initial contact of a prospective concern to the provision of services or to where there is no further action. The system should also support initial contact for universal services' referrals.

The system must enable the case to be taken through from the initial contact, through the regulated processes, which are dependent on the particular case to the closure of the case. The system must be able to be configured to support the process and ensure that authorisations and next steps are triggered by the system. The services require reports that link across different aspects of their work and show the data cut in many different ways. A system that meets the needs of the children's services will be able to demonstrate how it will support these processes and ensure linkage for reporting and service management purposes.

Social work is a changing profession and we need a system which is flexible in its design to allow for changes in practice to be evidenced within case recording, so although we have statutory processes we must follow the way we do this may vary over time and we will need a system able to adapt accordingly.

2.3.16 Children's Basic System Requirements

	Requirement	Comments
(a)	The system should be readily searchable to ensure that duplicate child entries are not created.	
(b)	The system should be able to produce genograms automatically based on the relationships recorded.	
(c)	The system must be able to link notifications of involvements across different services within the system including missing children, disabled children, CSE, looked after children and child carers.	
(e)	To be able to record signs of safety 0-10 score (0 no signs of safety, 10 – child safe) against the child's record Want to be able to report on how the score has changed throughout the child's journey. Tenderers to provide information regarding how the system caters for this.	
(f)	The system should reflect the principles of the Munro review i.e. “the child's journey” and be capable of meeting Ofsted inspection criteria.	
(g)	The system should provide the ability to identify where a child is part of a sibling group and whether any of the siblings are in care.	

2.3.17 Early Help

	Requirement	Comments
(a)	Contacts: The ability to log all contacts made whether or not they result in a service	
(b)	Early Help Screening Tool: The ability to incorporate a screening tool as part of the Early Help process	
(c)	Early Help Intervention Case Recording/Assessment: The ability to capture the detail of the work undertaken by Early Help Intervention	Early Help services cover Children's Centres, Family Support Teams, IYSS and Education Welfare
(d)	Early Help Assessment Outcomes: The ability to record outcomes in line with local requirements	Ability to record participation of children and families in group work and the associated outcomes and progression
(e)	Identifying non- social care workers :The ability to create records and identify the involvement of staff who are not social care	There will be times when a case is open to Social Care (who will be the case holders), however, Early Help will be the key worker who delivered on actions within a plan. (For reporting purposes the case will only be counted once). The role of the key worker and co-worker will need to

	Requirement	Comments
		be reflected, allowing each to record their activity and fall in line with case and work flow management routines.
(f)	Referral routes: The ability to capture alternative referral routes which are separate to the social care	
(g)	Differentiate records: The ability to clearly differentiate on the system Early Help records from that of social care.	
(h)	Seamless escalation: The ability to escalate concerns of a child protection nature from Early Intervention services to social care services seamlessly. Also the ability to de-escalate cases from social care to Early Help seamlessly	"Step up and Step Down" process in line with recording manager decisions.
(i)	Letters: The ability to generate letters at determined points within the process and save within the system	

2.3.18 Child Protection and Safeguarding

	Requirement	Comments
(a)	The system must support the statutory process to manage safeguarding and child protection cases. The system must support our move towards the strengthening families model of conferencing and Child Protection Plans. The system must allow for information to be printed in a way that families can easily access and see the strengthening families grid and care plan. The system must be able to support the management child protection cases including meetings and documentation related to enquiries, conferences, registrations, plans and reviews within timescales and linked to authorisation. Including alerts, A system that provides configurable effective alerts and prompts for required actions will be preferred.	The system must facilitate the timeliness and information requirements required to record Child Protection processes, which must include strategy discussions, S47, ICPC, and Core Group meetings. It should also support children already subject to a plan from other LAs and the temporary placement of a child subject to a plan and pre-birth conferences. It must be able to easily facilitate sibling group recording, whilst easily customising and individual child's case record. Record Child Protection enquiries, including when flagging up when CP enquiry limits have been reached. The ability to edit a child protection enquiry

	Requirement	Comments
		with the facility to for the user to lock once complete.
(b)	The system should support the preparation of court papers without the need for repeat entry of notes and dates.	
(c)	The system must enable the case to be transferred to other teams with notifications being triggered to identified teams or individuals.	E.g. – fostering and adoption, LADO, Disabled children's team, missing children.
(d)	The system must be able to record and store – or link to EDRMS storage all communications/ correspondence surrounding safeguarding cases.	
(e)	The system must be able to monitor adults known to be at risk to children. Support the development of knowledge about such adults across the full breadth of the system.	
(f)	The system should be able to manage and securely maintain information about allegations against staff, partners, organisations and carers.	To include investigations and outcomes.
(g)	Child Protection Information Sharing - The system must comply with the government standards required for CP-IS and interface with NHS systems.	
(h)	The ability to record Child Sexual Exploitation (CSE) meetings and to be able to identify risk factors and conference outcomes. Record a CSE risk assessment within core functionality, identify the social network around a young person(s) at risk through CSE through geographical representation.	

2.3.19 Looked after Children

	Requirement	Comments
(a)	The system must support the management of children in care and in particular follow public law outline requirements and be able to store and produce key documentation in relation to court proceedings particularly with regard to Section 7, 34 and 37 of the Children's Act 1989.	
(b)	The system must be able to record & produce documents for reviews/visits and trigger visits and actions in line with defined timescales.	Including statutory visits, Personal Education Plans, Health visits.
(c)	The system must support the management of children and young people as they move out of care particularly managing cases of care leavers including destinations, educational outcomes etc.	For example, Pathway Plans.
(d)	The system should be able to record and maintain and support transitions for young people up to the age of 25.	Including educational and living arrangements.
(e)	The system must be able ensure all data items for statutory returns are captured and validated and are in the correct format for the return. The system provider must ensure that changes to specifications for statutory data collections are addressed in time for the return.	For example, the SSDA903, CIN census
(f)	The system must be capable of identifying care	

	Requirement	Comments
	leavers based on pre-defined criteria and automatically flag this record to the leaving care teams.	
(g)	The ability to track and maintain services to Looked After children placed in across border placements.	We would like to explore the ability to calculate how far away a child is placed.
(h)	The system should show clearly that the child has a Child Protection Plan in another LA	
(i)	The system must record unauthorised absences for children from residential and foster care.	
(j)	Ability to log and monitor placement types of remand cases in order to log total cost of placements.	
(k)	Missing from Care: Record, monitor and review children missing from care or absent by the police with method of tracking time missing and prompting timeframe (i.e. hours missing) based checks.	Facilitate the process of investigating and recording reasons for going missing from care and meeting statutory requirements.

2.3.20 Leaving Care

	Requirement	Comments
(a)	The ability to record the leaving care contacts between the young person and their worker	
(b)	The ability to record the Young Persons leaving care category	
(c)	The ability to record the Young Persons accommodation address	Need to note if suitable or not and an accommodation category code
(d)	The ability to record the activities undertaken by the young person, this includes details of education, training and employment category (current and previous) currently been undertaken by the young person.	
(e)	The ability to record details of the Young Persons pathway plan	
(f)	The ability to record the Young Persons Pathway Assessment	
(g)	The ability to indicate if a young person is qualifying, eligible, relevant or former	
(h)	The ability to indicate on a record that funds are being held on behalf of the Young Person	
(i)	The ability to record a Pathway Plan and review on a young person's record until their 25th birthday	
(j)	The ability to record that a young person has been consulted and agree their Pathway Plan	
(k)	The ability to record any current and past offences including the outcomes.	
(l)	Auto identification of young people in the eligible leaving care category based on age and time in care criteria. Including the manual identification of young people in the qualifying leaving care category with the record of rationale for decision.	

	Requirement	Comments
(m)	The system must be able to allocate a “score” for each young person’s outcomes which can then be monitored for progress against a timeline.	

2.3.21 Residential Homes

	Requirement	Comments
(a)	The system should support the management of residential children’s homes including meeting record keeping regulations, case and meeting management and notifications.	
(b)	The facility for manager to authorise daily logs	
(c)	Must enable residential workers to create a residential plan and enable the recoding of time and dosage of prescribed medication and none prescribed medication administered to a child.	
(d)	The system must have the ability to record sanctions and restraints and must meet the requirement of OfSTED for recording such actions	
(e)	The system must have the ability to record allegations and complaints against staff and limit the viewing through authorised users	
(f)	The system must provide the facility to record payments to the residents and amount given, date and signature	
(g)	Provide the facility to record unauthorised absences and missing from care episodes	
(h)	Record and track the experience of children placed in a residential home , including case work with the child through provision from the home, contributing to the view of the child’s journey whilst receiving children’s services.	This must also include the ability to record the child voice through different media.

2.3.22 Fostering and Adoption

	Requirement	Comments
(a)	The system must record details about approved foster carers, potential foster carers (including Kinship carers), and potential adopters and their current status.	Covering the business process from initial enquiries through to approval and placement of children.
(b)	The system must support the process of recruitment and assessment (including panel approval) of potential foster carers and adopters and on-going training/compliance of foster carers.	Workflow of contacts with carers, notes of visits by social workers, approval and training dates.
(c)	The system must maintain foster care approvals, information about foster care panel meetings, and specific status. Including Special Guardianship Orders.	e.g. short breaks, respite care, kinship care, contract care, number of children for care, age range approved for, private fostering.
(d)	The system must maintain information about placements with foster carers – type of placement, Breaks of placement, placement dates, highlight variations from approval.	Link to child records – (child details should not need to be re-entered).

	Requirement	Comments
		System to trigger alert if outside normal approval.
(e)	The system must maintain, and trigger alerts about complaints, allegations, concerns and statutory approvals.	Complaints, allegations need to be able to be reported against the individual carer or by type of complaint.
(f)	The system should be able to record equipment and loan of equipment to carers.	
(g)	The system should support the transfer of children who become looked after to the fostering and adoption service. The system should support the management and maintenance of a child's placement(s) throughout their time in care. Including the generation of a, date stamp and triggers.	
(h)	The system should have the facility to show which local authority the child in care is now residing in, the school or alternative education provider they are attending, any relevant notifiable events and the school Ofsted judgement.	
(i)	The system must be able to show any payments made to a carer or a child in care and the reason for the payment.	This should also be linked to the Financial module.
(j)	The system must support the process for placing a child with a potential adopter including cross-LA/ inter-agency adoptions and adoption panel meetings.	System should enable effective case management through the adoption process.
(k)	The system should support adoption actions including preparation of court papers, outcomes of court judgements and maintain adoption outcomes.	System should record dates of activities and maintain a record if a placement breaks down
(l)	The system must be able to maintain new and old records for child(ren) with appropriate level of data security and support the management of birth record enquiries.	Due to change in name following adoption another record is created
(m)	The system should be able to record arrangements for contact with birth parents/adoptive parents and children.	The identifying links between adopters and birth family members with direct contact or indirect contact (letterbox) need to be restricted with access to named team / users only.
(n)	Ability to produce live foster carer vacancy list and list of children waiting to be placed.	
(o)	Ability to link foster carer and child looked after episode.	
(p)	Potential to allow 3rd party providers to have	

	Requirement	Comments
	access to the social care system to update information regarding DBS checks, assessments completed on foster carers and adopters.	
(q)	If the placement type changes, the system must be capable of automatically updating the dates of the statutory visits accordingly to reflect the change in the frequency and timescales of the statutory visit.	
(r)	The system should provide functionality to record requests for post adoption support and any subsequent service packages that are accessed. The ability to undertake support assessments for adoptive families and record on-going support needs with review triggers.	
(s)	The ability to display when a child is privately fostered, record a private fostering assessment, regulation visits, foster carer checks and approvals.	
(t)	The ability to highlight Long Term Matched Placements	
(u)	The ability to authorise placements with commissioning	Including Audit trail

2.3.23 Education

	Requirement	Comments
(a)	The system must be able to record and maintain Personal Education Plans for children.	
(b)	The system should allow the recording of Educational Transitions Reviews categorised by Year group e.g. Yr. 9 review.	

2.3.24 Disabled Children

	Requirement	Comments
(a)	The system must be able to record details of a child's disability(ies) and the support, including payments, respite care and equipment provided.	The system provider should be able to demonstrate how this would be managed by the system and the reporting functionality within this element.
(b)	If a child has a CiN code of disability, it must be possible to complete specific disability, including all requirements of Child Disability Register. In addition we also require the facility to add subjects to the Child Disability Register who are not social care clients.	
(b)	The system must be able to calculate a Personal Budget using an inbuilt RAS calculator.	
(c)	Ability to record number of nights a child spends in short breaks and distinction between children in care.	Allowed 74 nights short breaks respite care
(d)	The ability to record the provision of short breaks along with the category the break will be provided	

	Requirement	Comments
	under S17, S20 etc.	
(e)	Ability to administer Direct payments (see financial requirements section).	
(f)	It must be possible to record an Occupational Therapy assessment at the same time as a Children's assessment	
(g)	It must be possible to record a Carer's assessment and link it to a Children's Assessment. Including the Carers RAS assessment and eligibility priority	
(h)	The ability to record that a carer or parent has refused to have a Carer's assessment	
(i)	The ability to enable a parent or carer to complete an Carer assessment electronically	
(j)	The ability to capture the child's participation in assessments and reviews and details of the methods used e.g. pictures, tool kit	
(k)	When recommendations are made for equipment the system must enable the OT to record that the equipment has been ordered, issued or pending and to record when the equipment is installed. Including notification of when a review is needed.	
(l)	The ability to record that a Statement of Education Needs exists for the child.	
(m)	The system should have the ability to record transition applications, those that are accepted and those rejected and reasons	
(n)	The ability to change review dates and create additional reviews as required	
(o)	The ability to record education Transitions Review as categorised by Year 9 review	
(p)	The ability to manage the Children's Personalisation agenda for children within the transition process e.g. assessment, budgets, support plan	
(q)	The ability to record the details of the transfer to adults i.e. dates	
(r)	The ability to display a person's diagnosis in a prominent area of the system	

2.3.25 Multi Systemic Therapy

1.2.3.21	Requirement	Comments
(a)	The system must provide flexibility to record details of the intervention process and any service provision. With the option of creating individual or family records.	

2.3.26 Common Assessment Framework (CAF)

CAF is a fundamental element within the Rotherham Children's Servcies. The CAF is the main recording tool by services for intervening early and preventing problems. CAF activity is currently recorded in the CAPITA ONE solution however Rotherham would like the freedom to evaluate this in the future. An electronic solution is required that can overcome current operational barriers to enable better information sharing across partners, better management and performance reporting, and increase efficiency through appropriate self-service access.

	Requirement	Comments

	Requirement	Comments
(a)	The system must support the storage and retrieval of CAF information electronically.	
(b)	The system must be able to record an assessment, action plan, review and closure forms.	
(c)	The system must be able to report on both outputs and outcomes including the following aspects: • Types of need • Levels of need • Signs of safety • Child's, parent's/carer's and professionals views	
(d)	The system must provide access to the CAF forms for partner agencies.	

2.3.27 Domestic Abuse Referrals

	Requirement	Comments
(a)	Ability to have a restricted area within the system to log and manage domestic abuse referrals.	
(b)	To be able to record victim and perpetrator and child.	
(c)	Ability for partner agencies to access and update records (see portal requirements section).	

2.3.28 Family Assessments

	Requirement	Comments
(a)	Ability to administer a family assessment and record an action plan within the system. This must be in line with the recording, monitoring and reporting requirement of the Troubled Families agenda	

2.3.29 MASH

A MASH Team has been established within Rotherham and we wish to consider the ability of recoding MAS activity within the case management solution.

	Requirement	Comments
(a)	Case management system will allow the user to record a MASH contact with relevant fields	
(b)	The MASH screening process to be recorded and coordinated from within the system	
(c)	Allow appropriate notifications to be generated to fulfil the MASH process	
(d)	Define and support the roles within the MASH team and the ability for these roles to preform functions of task allocation and case note recording	
(e)	Allocate cases a RAG status	
(f)	Allow the authority to setup restricted access in relation to the MASH team and other system users	

2.3.30 Voice of the Child

	Requirement	Comments
(a)	The ability for the system to have a direct input text box for both children and parents comments prior to attending child protection conferences.	
(b)	A tick box on each child's record to indicate if feedback has been received (or not) from their experience of our services to them	

2.3.31 External Placements

	Requirement	Comments
(a)	It must be possible to identify which children were/are in placements managed by the placement team.	
(b)	It must be possible to record information about the Placement Name, Address and gazetteer so we can calculate the distance from their home address.	
(c)	Ability to be able to view the placements cost and the variations in historic cost (discounts, etc.)	
(d)	The system must be able to calculate the projected placement cost until the child exits and have the capability to dissect those costs.	
(e)	Ability to record the OFSTED URN and the OFSTED rating on the placement provider – where it's not an OFSTED placement that should be flagged.	

2.3.32 Adults Requirements

2.3.32.1 Adults General Case Management Requirements

	Requirement	Comments
(a)	The system should be readily searchable to ensure that duplicate entries are not created	
(b)	The system must manage a notification of death and the internal processes that are invoked as a result. (These must be locally definable)..	Some processes need to continue after death eg Facility to Pay for a specified number of days after death at the gross fee
(c)	The system should be capable of holding non RMBC service user records (i.e. where RMBC are commissioning services for service users from other authorities). Records should be clearly flagged as 'non RMBC'.	
(d)	Ability to record different types of service users by type of need, by payment responsibility, by legal duty upon the Authority, legal status etc. – (including but not limited to care client, community client, court of protection, 100% continuing health care, self-funders, carers etc).	
(e)	Ability to record multiple service user needs. This must include the ability to record both eligible and non-eligible needs	Should be possible to link Needs to the Assessment and the ability to record actions that meet the client's needs that are not provided by the Authority
(f)	The system must have the capability to record where a service user has been identified as vulnerable. A requirement is to have the functionality to flag that a service user is vulnerable to users and that points at which the 'vulnerable' flag is activated are locally definable e.g. when services are commissioned.	
(g)	Ability to record details about a service users refugee or immigration status, which are updatable and maintain a history.	
(h)	Ability to record multiple relationships with ability to have primary and secondary relationships within the same relationship group. It should be possible to have more than one primary relationship across different relationship groups but not within the same relationship group.	
(i)	When a relationship is closed it is closed on both records.	
(j)	Ability to record GP at both practice level and an individual level, and also include the GP Practice Code	

	Requirement	Comments
(k)	Record Power of Attorney	
(l)	Record Employment Details	
(m)	Record Health Information	
(n)	System must be able to report on outcomes and enable reports to be built that support outcomes for service users, performance management for the service, teams and individuals	

2.3.32.2 Enablement

Scheduling within the Enabling Service is carried out using an Electronic Scheduling System (Webroster) which is integrated to the Case Management System and it is a requirement for any new solution to have an interface between Webroster and the Social Care/Finance solution.

	Requirement	Comments
(a)	Must be able to both export and import client, service and schedule data to the Webroster system.	
(b)	Ability to check Enablement capacity	
(c)	Ability to monitor unallocated enablement cases	
(d)	Ability to record an enabling assessment with ability to record who has completed each dimension	
(e)	Ability to record extra questions at point of contact	
(f)	Ability to record progress of contact to home enablement	
(g)	Ability to output the enablement assessment	

2.3.32.3 Electronic Home Care Monitoring

	Requirement	Comments
(a)	The system must interface with an Electronic Home Care Monitoring system in order to manage transactions and process billing.	

2.3.32.4 Shared Lives

	Requirement	Comments
(a)	System must be able to support the recruitment and administration of 'Shared Lives' (Adult Placement) Carers Application process.	Covering the business process from Initial Enquires through to assessment, approval and placement of Adults
(b)	Shared Lives Carers to be identified as a different type of record in system (as both a 'person' and a 'service provider').	e.g. By defining a person's 'role' or by a different format of ID number. (unique prefix?).

	Requirement	Comments
(c)	Carer record must have the following functionality: Basic details: unique ID, name, address, DoB, Ethnicity, Religion, Language, Orientation, NI Number.	As a service provider - in order to process payments to Shared lives Carers.
(d)	Shared lives Carer records must be able to be kept secure and separate from service user records but have all of the same functionality as a service users record. • Assessments /electronic forms • Case Notes • Workflow etc.	
(e)	System to have functionality to record Carer approval details (i.e. – service register) – types of service the carer provides, cost rates, start / end date of approval, review and renewal dates.	
(f)	System to be able to record Shared Lives Service Packages and process payments to Shared Lives Carers. Different types of shared lives service.	(Long Term / Short Term/ Respite / Day services) – that count for different RAP categories.
(g)	System to be able to display a placement history (service agreements history) from both the Service User – AND Carer (i.e. – supplier) point of view.	
(h)	System to have functionality to record a Carers training record (courses attended, qualifications, review/renewal dates).	
(i)	System should have functionality to record a carers annual leave / respite breaks tracker and planner.	

2.3.32.4 Hospital Discharge

	Requirement	Comments
(a)	Ability to record "Notifications" (under the Section 2 Contact)	
(b)	Ability to update section 5 "Notifications" with rejection dates and reasons	

2.3.32.5 Assessment and Resource Allocation Score (RAS)

	Requirement	Comments
(a)	The System must support the Adult Social Care Personalisation agenda with the ability to record a RAS from an Adult Assessment, to record and track a Service Users Personal Budget through a Support Plan and the Service Package.	Linked to Adult Assessments, Re-Assessments, Reviews and Support Plans in ‘Electronic Forms’, and linked to recording ‘Service Packages’.
(b)	The System must support the Care Act and have the ability for customers to do an on-line needs assessment and linked to the Case Management System	
(c)	Ability to configure locally an assessment framework which can be made available	

	Requirement	Comments
	through multiple channels. The system must be able to have more than one concurrent assessment.	
(d)	Ability to allow co-production of assessments and support plans	There is a clear need for multiple agencies to participate in the assessment and support planning process without the need to duplicate effort
(e)	The system must have the ability to produce an output document to include information from the Assessment and other areas of the system. Managers also require facility to annotate these with comments	
(f)	Record Needs linked to the Assessment	
(g)	Record FACS	
(h)	Ideally the system should support the calculation & display of indicative RAS figure based on the details recorded in an Assessment (points value and monetary value), with the flexibility to adjust / recalculate the RAS figure.	Calculation of the RAS figure should be done concurrently with the Assessment / Review– Electronic Forms.
(i)	The indicative RAS figure must become part of Service User's record, not just be held within the Assessment, and be copied through to the Personal Budget / Support Plan /screens, with the ability to record the actual budget allocated and, if necessary, store but override the indicative RAS figure.	
(j)	The system must hold a history of RAS allocations and personal budgets for a Service User.	
(k)	The system must support the commitment /sign off and saving of the RAS calculation when all pertinent information has been collected and the amount finalised. Including the recording & authorisation of a PB that is higher than the indicative RAS.	
(l)	The system must support recording of, and the ability to change, the business rules supporting the RAS calculation at any time.	
(m)	Final submissions of RAS figures must remain fixed and not be affected by subsequent changes in the rules on which the RAS calculations are based.	
(n)	The RAS must be linked to the Assessment it was generated from. Reassessments must calculate a new RAS.	
(o)	Flexibility to make changes to the RAS algorithm locally by RMBC system administrator.	

2.3.32.6 Care Planning, Panel and Brokerage Personal Budgets

	Requirement	Comments
(a)	The System must have the functionality to record Service Packages as part of the Care management process (Children, Adults, Adult Carers) and process Finance payments and charges. • Residential Services (Care Homes) • Non Residential Timetabled Services: (Home Care / Mobile Meals / Day Care / Supported Living) • Payments: (Direct Payments for Service Package and/or One off payments or equipment) • Equipment Services (OT / Assistive technology) • Transport • Adaptations Major and Minor (Drop down menu).	
(b)	The System must have the functionality to record details of a support plan, outcomes and flexible support package designed to meet outcomes. The system must be able to have more than one con-current plan.	It should be possible to configure this locally
(c)	The Service Package functionality must be linked to Service organisations / Service register, in order to calculate cost of a service / per service user / per supplier and produce supplier invoices integrated with RMBC accountancy/ payments system.	
(d)	The Service Package functionality must be able to record and process all of the basic details of a Service Package, (including service type / planned hours/days /costs /tasks/provision basis – and all details relevant to that service type). This should create an order form. With the ability to record and track start reason / end reason for service, link service packages together to display which service replaced a previous one. The system must have the ability to be able to link these to an assessment or review (Local 28 days P.I)	Including: Supplier, service type, start / end date, commissioned Hours / days / meals. Cost rate, weekly cost, Contact details of providers e.g.: Equipment: type, quantity, cost, order date, installation date, delay reason, return/replacement date. e.g. Transport: journey details , pickup/drop-off address, days of week, mode of transport. Start/ end reason: when service user discharged from residential care and enters into supported living.
(e)	The Service Package functionality must be able to record actual hours / days attended (in units (hours/days/meals) or monetary	To give performance data on the commissioned cost

	Requirement	Comments
	value with the ability to link recorded actual information against an associated order form. And to record temporary 'Suspensions' of service, without having to record closure and re-start in order to track the recording of delayed and unavailable services. And ability to upload actual delivered services into the system in order to track planned versus actual service delivery. Either via a data upload function or a provider portal.	of a service against the actual cost of a service package.
(f)	The Service Package functionality must have the ability to be linked to a Service Users RAS and PB, allowing Service Packages to be recorded against a PB, and projected and actual spend / costs to be recorded against the PB.	
(g)	The Service Package functionality should be a core part of the care management process in the system, and include the ability to quickly view the summary or details of services provided, on a service users record Service Agreements / Personal Budget screen Display of services on a Service User summary e.g. display service type, provider details, hours/days, equipment installed, etc.	
(h)	The System should provide a tool to assist the Support Planning and Brokerage of Adults Services (as part of Care Act agenda). Including the facility to display a summary and comparison of costs/hourly rates from different service providers.	Such a tool should display: (Indicative RAS amount, Total cost of the whole support plan, Cost of individual services within the support plan), and be linked to workflow.
(i)	Display alternative funding stream details as part of the Service Users record, visible to Social Workers.	e.g.: Section 117, Service User & 3rd party Contributions, Continuing Health Care.
(j)	System should have the ability to amend / update / close Service Packages in bulk – for a Service User, Provider, Service Type. i.e. – if a provider closed, or a service is suspended.	Ability to amend name of provider of the service - see contract management.
(k)	The system must have the ability to link the plan to the review when required	
(l)	The system must allow the recording of the date the Statement of Need is issued and the ability to produce a covering letter	
(m)	The system must be able to record contingencies so appropriate action can be	

	Requirement	Comments
	taken as and when required.	
(n)	The system must have the ability to provide a specific section or module which is dedicated to panel activities that can record and authorise decisions and any further actions needed	
(o)	The system must provide capability to forward documents and reports to panel meetings electronically	

2.3.32.7 Reviews

	Requirement	Comments
(a)	System should allow for the creation of reviews with local configured questionnaires to different types. It should be possible to access with ease the linked support plan and record Personal Outcomes Progress including comments	
(b)	Ability to send invitation letters	
(c)	The ability to terminate reviews and reason why terminated	
(d)	Ability to have more than one con-current review	

2.3.32.8 Carers

	Requirement	Comments
(a)	Ability to make the link between the carer and the cared for so that is clearly visible on each record to a system user. Also see Relationship Recording section.	
(b)	The system should allow the recording of a Carer. It should be possible to record the individuals (including relations and non-family members) within the Carer family.	
(c)	The carer must be able to follow the same workflow as a citizen including RAS - assessment, RAS, Support Plan, Review, services agreement, chargeable services, payment of service etc.	
(d)	Ability to link assessment to services/provisions	This is a 28 days local PI

2.3.32.9 DoLS

	Requirement	Comments
(a)	Ability to record a Contact without impacting on a care process being undertaken concurrently by other social care teams and without changing the recorded relationships between that team / workers and the client.	
(b)	Recording of BIA (Best Interest Assessor) assessment with certain outcomes should automatically set legal status flags and trigger reminders.	E.G. for guardianship

	Requirement	Comments
(c)	Ability to record summary assessment information to support centralised performance reporting although the detailed assessment may be held as a document.	
(d)	Ability to record mental health assessor	
(e)	Ability to record details relating to DoLS including : Best Interest assessor Basic DoLS requirements Decisions Assessments and Outcomes Legal Orders Legal events Involvements Reviews	
(f)	Ability to suspend a clients DoL and also end suspensions	
(g)	Report detailing authorisations approaching end date	
(h)	The system should include all of the Deprivation of Liberty Forms published by the Department of Health.	

2.3.32.10 Physical and Sensory Services

	Requirement	Comments
(a)	Ability to record details of Visual Impairment, Hearing Impairment and dual sensory loss.	
(b)	The system should be able to record Visual Impairment and Hearing Impairments and dual sensory loss registrations.	
(c)	Ability for Care Professionals to send a referral to the OT or Sensory Teams for OT Assessment, Moving & Handling Assessments & Sensory Assessments. A requirement of the system is it allows Care Professionals to access through workflow OT and Sensory services advice & consultation as part of the purchase of specialist equipment or assessment of disabilities.	
(d)	Ability to record OT and Sensory Assessments including but not limited to Activity of Daily Living (ADL) assessments, Moving & Handling Assessments, Feasibility Visits (in line with pending National Care Standards inspections for Care, Nursing and Residential homes), Work Assessments, Housing Needs Reports., including risk assessments, personal handling plans, Orientations and mobility assessments, communication assessments and deaf equipment assessments.	

2.3.32.11 Adult Safeguarding and Institutional Safeguarding

	Requirement	Comments
(a)	The system must support the Statutory processes to manage Adult Safeguarding and Institutional Safeguarding processes. This should include the management of cases, meetings and documentation related to these as well as the ability to record; • Concerns; • Safeguarding referrals; • Strategy meetings and case conferences; • Decisions / outcomes; • Risks; • Protection plans; and • Mitigating actions	
(b)	Ability to record all relevant information regarding an investigation and link directly to the associated safeguarding file in the EDRMS.	
(c)	The system should have the capability of linking an investigation to one or more clients / victims and / or one or more clients / perpetrators and / or a service provider.	
(d)	It should be possible to record an investigation against an organisation / provider instead of against a service user, for example, where allegations are made against a care home for multiple or anonymous service user(s).	
(e)	The system must have the ability to link 'Notifications of Concern' and Safeguarding Adults Investigations on a Service Provider, using the electronic forms and workflow functionality. With the ability to cross reference NOCs and Investigations to Service Users records and a unique case ID number. E.g., configurable workflow to start a 'Large scale investigation' if 3x NOCs are recorded on a service provider.	
(f)	When viewing a client record or an organisation / provider record the system should have a highly visible and immediate alert that the individual or organisation has been linked to a safeguarding investigation.	Would need to be able to see date of safeguarding closure and whether it is currently open or outstanding.
(g)	The security associated with a safeguarding investigation should be capable of individual configuration. Individual users should be allowed / disallowed access as necessary.	This should also be possible for the whole file and not just the safeguarding element, must be able to do this easily on an individual basis.
(h)	When made aware that an individual or organisation has been linked to an investigation the user should be presented with a list of investigations which involve that	

	Requirement	Comments
	individual or organisation.	
(i)	A user should be able to see a list of all investigations in which a service user is involved but only be able to access those investigations for which they have access rights.	
(j)	The system should offer the following options for recording alleged perpetrators • Create the alleged perpetrator in the client index; • Select the type of perpetrator from a list of default types; and • Free type the alleged perpetrator details without creating a record in the client index	Concerned regarding Data Protection Act of recording perpetrators who we do not have consent.
(k)	Ability to provide sufficient validation to ensure that all mandatory fields are completed for safeguarding and provide cross-validation to ensure data consistency.	
(l)	The system is to ensure that outcomes of the investigation are entered against every victim, alleged perpetrator and organisation named in an investigation and whether a service user is satisfied with the outcome of the investigation.	
(m)	Minutes of strategy meetings should be available within the system but only accessible to others once agreed by the chair.	
(n)	The system should allow the recoding of Safeguarding case notes where the note can be locked when completed and not when saved	
(o)	The system must allow the ability to restrict access to a service user record to an individual worker or a group of workers when required.	This may be required when an investigation is of a sensitive nature or involves members of staff.
(p)	System must have the ability to extract data based on triggers to feed into the Rotherham Provider Risk Matrix	This is to allow proactive monitoring of safeguarding concerns in relation to Providers
(q)	The system must have the ability to produce outputs and pre populate standard Safeguarding forms which may include information from a range of screens.	

2.3.32.12 Supporting People

The Supporting People programme delivers high quality, housing-related support services which are affordable, reliable and complement existing care services. It is a working partnership of local government, service users and support agencies.

There are 22 providers who hold between them 41 contracts comprising of a total of 79 services. Regular monthly and 4 weekly automated payments are made equating to between £450k and 500K per month. Each of the 79 services is performance monitored with quarterly submitted workbooks using data that has been uploaded into the system to enable quarterly, half yearly and annual reports to be produced.

Currently there is a separate database for Supporting People which interfaces with the Councils Financial Systems and holds details of all Supporting People contracts including the services within these contracts, variations to the contracts, Payments, customer information and performance data for each service. We would like to look at the options of integrating the data from the Supporting People system with Social Care data to give an holistic view of customers, contracts and financial data within one system. Suppliers would need to understand the differences in the way data is currently recorded and include a proposal as to how the data could be merged.

	Requirement	Comments
(a)	Data is currently recorded in separate system but we would like to consider merging this with Adult Social Care and Finance data.	This would give an holistic view of customers, contracts and financial data within one system. Suppliers would need to understand the differences in the way data is currently recorded and include a proposal as to how the data could be merged
(b)	A requirement of the system is to include functionality for • Managing orders; • Raising invoices to Providers (debtor billing); and • Processing supplier payments (including gross payments, payment schedules and payments to leaseholders) • Recurring payments and manual adjustments Import and export of performance indicator workbooks • Report functionality to report on workbook data See also Finance section	To have the function to make payments with VAT.
(c)	The system should have the option of incorporating Housing Related Support charges and charges for other services onto one consolidated invoice to the service user.	
(d)	A requirement of the system is to integrate Housing Related Support charging into the Fairer Charging module.	
(e)	The system must hold full contract information including:	

	Requirement	Comments
	• Provider details; • Capacity / availability • Contract value; • Contract rates; • Start and end dates of contract; • Units of service; • Service details; and • Hours of support provided and hourly rates	
(f)	The system must include functionality for managing block gross chargeable contracts for long term services.	
(g)	The system must include functionality for managing block subsidy chargeable contracts for long term services.	
(h)	Ability to record contract monitoring information including Performance Information.	
(i)	Ability to store current and archived contract documents via EDRMS and that system user access to contract documents is controlled .	
(j)	The system should have the functionality for allowing providers to log into the system (provider portal) to • Check key information held on the system; • Manage their contracts; • Manage their service details; • Access and download their payment schedules; • Manage details of service users receiving services; and • Upload workbooks containing service monitoring data and key performance indicators; the frequency for providers to submit workbooks should be locally defined It is a requirement that provider access to log into the system and to view and update data held in the system is strictly controlled and defined locally. Provider log-ins and provider access to records should meet with security requirements.	
(k)	The system should be able to manage contracts with multiple funding streams for Housing Related Support.	
(l)	The system should allow a system user to query a provider record and to retrieve all the records mentioning each service user for whom the provider delivers a service.	
(m)	The system should be able to hold full service user records for Housing Related Support. It is a requirement that the service user records include individual costs for Personalisation	

	Requirement	Comments
(n)	The system must enable a system user to monitor and report on service users individual budget allocations within Housing Related Support.	
(o)	The system should have a service directory facility for providing access to service cost, performance and quality data.	
(p)	The system must provide the facility for generating letters, documents, contracts, payment schedules to providers and leaseholders including mail merge. It is a requirement that the configuration of letters and documents is locally defined.	

2.3.32.13 Workflow Requirements

The system must provide a workflow engine within the system. All of the relevant business processes must be implemented using the workflow engine working seamlessly with the e-Forms functionality to accept data input and process it accordingly.

	Requirement	Comments
(a)	The system must have the functionality to set up configurable, flexible & comprehensive workflow functionality – allowing RMBC business system admin to setup processes and procedures, linking different stages of work / different e-forms together • It should be adaptable and easy to create and amend by non-technical staff • Tools to create and modify workflows graphically • Workflow process definition – must be modular – able to combine small workflows to make a bigger one	Workflow functionality that links together different stages of a care management process. e.g.: Assessment process / Safeguarding Investigations Question: What is the impact of changing workflows from one version to another? Will changes affect all existing workflows?
(b)	The system must have the functionality to set up configurable workflow that will work independently for Children and Adults departments.	For example the Workflow functionality for children's department should support the authorisation of assessments (electronic Forms) by team leaders / managers (with the ability to delegate/cover authorisation responsibility).Workflow should notify managers / workers when authorisation required / signed off Whereas the

	Requirement	Comments
		workflow functionality for adults needs to be more flexible.
(c)	The system must have the functionality to allow each workflow to have configurable roles and permissions i.e. ability to turn on/off authorisations and ability for managers / workers to re-allocate workflow items.	
(d)	The system should be able to interact with: • Document storage and retrieval • The e-forms package • Reporting tool (generation or report running)	
(e)	The system must be able to handle system failure, ensuring that transactions are not lost.	
(f)	The system must enable a member of staff's workflow and other tasks to be authorised, picked up or re-allocated by their line manager based on a defined organisational structure.	
(g)	The Workflow functionality must be flexible and dynamic – with the ability to link referral to the next steps in Adult / Child social care process – based on the answers recorded in referral or the outcome of any other assessment and the outcome of the referral.	The creation of additional workflow steps (or start of a new workflow process) should be created as a result of the outcome of the previous stage –
(h)	The workflow functionality should be prescribed but flexible – leading the worker through a set process – but flexible enough to allow for workflow steps to be repeated / add additional steps / skip steps (if not mandatory) (and record reason for skipping a step) during running processes.	
(i)	Workflow must have the ability to easily identify/track at which stage of a workflow a service user is at, at a given point in time so that the workflow can be resumed either by the member of staff concerned or by their manager.	View workflow progress from the service users record.
(j)	The workflow should have the ability to define which data fields are mandatory at which stage of a workflow process.	e.g., Primary client type to be mandatory at the assessment stage, but not at the referral stage.
(k)	The workflow should be able to send and receive online completed referrals, forms and files generated "outside of the system" and use these to trigger appropriate workflow. The system should support well-defined web services.	
(l)	The Workflow should have reporting	For performance

	Requirement	Comments
	capability featuring: • Performance management of workflows at team / worker level • Reporting on the workflow status • Reporting on completion and abandonment rates • Reporting on the workflow metrics – throughput, processing time, elapsed time • Ability to capture outcomes from citizens journeys to meet SALT requirements	management. Where a worker is leaving or on long term sick, the manager would need to see the whole case load for the worker and at what position each case is at.
(m)	The workflow must allow for the setup and maintenance of different types of workflows, and allow multiple concurrent workflows, enable prioritisation of workflows on the same service user at once.	Multiple workflows allow for different work processes to be undertaken at the same time / by different workers e.g. – Care Management / (multiple) Safeguarding Investigation
(n)	The workflow functionality should include the ability to send alerts via the system or via email to the worker and or team inbox to inform them of or escalate when necessary events. Events will include: • Outstanding, overdue and/or new work items • Changes relating to a service user needs / services / personal data • Documents waiting for their attention • Tasks • Event mechanism/alerts on scheduled events	The system should support the entry of business rules that define the triggers for the alerts and where the alert goes. For example – the system should be able to receive address updates from other Council systems and add these to a workflow.
(o)	Where a Workflow has been configured to require authorisation the system should notify managers / workers when authorisation required / signed off.	Workflow, Managers should be able to forward authorisation responsibility to other managers if unavailable.
(p)	The workflow functionality should include the ability to automate (or prompt workers to action…) the steps involved in Service User case closure / case transfer.	System should support the closure process by identifying multiple data items that need updating.
(q)	Auto – update / prompt functionality should include finance data recording, i.e. support the automated change of cost centre upon transfer of a case from one team to another.	
(r)	The workflow functionality should include the ability to schedule reminders for future tasks (e.g. Annual Reviews), and add/amend recipients of	

	Requirement	Comments
	reminders.	
(s)	Ability to be able to add manual workflow items / additional tasks and diarise with a future date.	
(t)	Workflow functionality should have ability to be transferred from one worker to another / one team to another (single workflows – or en-bloc).	
(u)	Workflow functionality should enable the management or / and synchronisation with Outlook for resources/workers with cases, appointments and electronically booked appointments.	
(v)	System to have the functionality to setup and maintain 'Automated letters' • Ability to create letter templates, with details populated from system • Ability to amend templates / layout/ data field- record logo • Ability to produce a 'blank' letter template – with personal details from system – but blank text	
(w)	It should be possible to locally define limits on the number of items in a workflow queue that are assigned to one person.	
(x)	There must be a system workflow for request to securing records to restricted / approved users.	

2.3.32.14 Document Management Requirements

(i) General Document Management Requirements

	Requirement	Comments
(a)	The system will be able to store and retrieve documents from either its own EDRMS or an external EDRMS (Wisdom), according to the colleague's EDRMS permissions and access rights per customer and per document.	
(b)	If there is no EDRMS functionality provided as part of the solution, the system must support the ability to open records / documents / images from within the client record held in the system, e-Forms or Workflow, via integration with RMBC's EDRMS system. Full Integration with an EDRMS system is required, so it appears as one system, rather than separate systems (from an end user point of view).	
(c)	Upon deletion of records from the system, it should be possible to create a list of associated documents that are also due for deletion from the EDRMS.	

If there is an Electronic Documents and Record Management System (EDRMS supplied as part of the solution) the following criteria apply

	Requirement	Comments
(a)	The EDRMS solution must manage document storage and metadata management and complies with ISO15489 and BS10008 standards around Electronic Document Storage.	
(b)	The EDRMS solution should contain the functionality to define and amend access levels across groups of end users to allow data sharing and data management.	Permissions/security needed.
(c)	It should be possible to manage user security to the EDRMS solution using Active Directory / HR.	The system must be able to manage/allocate rights to users who are not on AD
(d)	The EDRMS solution must have ability to restrict access to particular sections of a service user record (or the entire record), based on end user roles.	
(e)	EDRMS user security/permissions should be simple to set up and easily viewable by the system administrator.	Permissions/security. To avoid the risk of user access / security permissions becoming too fragmented and security being compromised.
(f)	It should be possible to access the EDRMS solution remotely using a variety of methods including • Secure web access • Via Citrix and/or other thin client technologies • Using a variety of PC and mobile devises (e.g. laptops, desktops, tablets)	May need access from Health locations to support joint working. To support mobile working arrangements.
(g)	The EDRMS solution should provide the ability to make changes to security rules, folder structures and names, meta-data and to use internal RMBC Council terminology. Changes must be auditable.	Needs to be flexible.
(h)	The solution should include functionality to create the automated indexation of documents against tags in the text of the document. It should be possible to amend automated classifications.	Ability to search, with less reliance on the user to enter the classification. Key terminology changes over time, so we probably need to be able to map these changes. May be a plug in.

	Requirement	Comments
(i)	The solution should include the ability to define folder structure in the EDRMS in a simple way.	Ease of use.
(j)	The security functionality in the EDRMS solution must have ability to set up user access rights to read-only, write, or read and write.	Permissions/security
(k)	The EDRMS solution must have ability to store all formats, compression rates, and size of electronic data / files / images / documents.	General requirement of a document handling system.
(l)	The EDRMS solution must have fully configurable audit trail functionality and version control attached to documents/images. The audit trail must record when documents are viewed and/or amended.	
(m)	The EDRMS solution must have functionality to support RMBC's document retention policies and the digital preservation of documents, including the ability to store documents in PDF/A file formats.	The standard for digital preservation is PDF a for the next 100 years. Have to keep Child in Care records for 75 years after 18th birthday and adopted child records for 100 years after adoption order. Adults and Children's social care services may need additional document retention policies on top of the corporate document retention policy.
(n)	The EDRMS solution must have ability to define data / document retention periods and automatically archive or delete records / documents based on the defined retention period. As well as automated destruction of records the solution should also be able to flag up records due for destruction (so that the destruction date can be extended if required) It should be possible to define the data / document retention period against the main client record (in the case management system). Need to be able to define and capture the information that is the 'trigger' for the beginning of the retention period for different types of records, e.g. a case being 'closed'.	The whole record needs to be kept together and linked to any documents that need to be retained. Need to manage the lifecycle of documents. Need to reduce the amount of input, especially between different instances of the software solution.
(o)	It should be possible to classify documents; the classification given to documents should be available to the	

	Requirement	Comments
	workflow process that determines the retention and disposal of items held in the system.	
(p)	The system must allow a multiple criteria to weed (select) records for disposition (e.g. type of record, time elapsed since trigger, and record classification).	
(q)	The solution should be able to create a list of documents due for destruction when records are destroyed; the minimum amount of information for each record is to be agreed at a later date, but should include unique reference number and date of disposition.	
(r)	The EDRMS solution should support the registration of and apply DPA 'Denial of Processing' rights to a service user record.	Need to have the capability to register that we have been told to stop processing data under the DPA.
(s)	It must be possible to upload and retain different versions of the same document within the EDRMS solution. This should include version control of such documents. Versions need to be auditable and searchable.	
(t)	It must be possible to insert a hyperlink from case recording/ notes to a document / record within EDRMS.	
(u)	Documents accessed via the social care system must open within five seconds.	
(v)	The Workflow capability described in the workflow section of this document should be used to control the adding of scanned documents to a record.	

2.3.32.15 Case Record Index and Record Management

	Requirement	Comments
(a)	The EDRMS solution must have the ability to record index data for physical items/documents against a service user record.	
(b)	The solution should include the ability to view all elements of a service user record.	
(c)	The system must include search function with the ability to search on all service user records and list/sort results by type/date/description.	
(d)	The solution should include different levels of search capability, including: • An enterprise search • Key word search • Wildcard search and Soundex • Unique case ID number • Multiple case ID numbers for	

	Requirement	Comments
	comparison	
(e)	The solution should include the ability to print 'en masse' all records and documents relating to a case. This should include the ability to select which elements of a service user/group's record to print, from one place (e.g. across EDRMS and case records).	For court cases, solicitors etc. This will need the right level of security access to be possible.
(f)	It should be possible to link to documents/images stored within EDRMS from within the social care case management system.	
(g)	The solution should automatically look-up basic details / classifications, associated with a service users record, and populate metadata fields when a document / image is added to the EDRMS solution.	Allow current EDRMS system to view basic client details directly in the database. To populate document index / metadata.
(h)	It must be possible to move electronically stored documents from one service user record to another. Where social care records are merged (in case of duplicate records being identified) all associated documents are moved to the master record.	E.g. Move the stored pages in tif format to another person where the documents have been stored against the wrong person.
(i)	Any detailed data displayed in a search results must be viewable in accordance to the access permissions of the user.	
(j)	It should be possible to link multiple cases and/or modules to a single document (to avoid holding duplicates in the system).	
(k)	The integrity of records / documents should be assured at all times so that each case record is complete and without any missing content.	

2.3.32.16 Information Sharing/Access to Records

	Requirement	Comments
(a)	The solution should include the ability to redact selected parts of a service user's record or fields for viewing/publishing purposes.	The word 'redact' has more than one meaning. In this instance it refers to the process of removing sensitive information.
(b)	The solution must include the ability to export documents / records into different formats.	
(c)	It should be possible to record details of physical items stored as part of the service user's record. This includes: • Type of file or physical item • Description of the file or physical item • Where the item is stored	Have to keep items of interest to the service user e.g. artwork created by looked after children.
(d)	The system should provide a unique	

	Requirement	Comments
	identifier per physical file.	
(e)	The system must include functionality to check physical files in and out of storage.	Need to know if the file has been checked out of storage and who the file is with.
(f)	The system should include a hide function for historic file locations. The system should default to displaying open records only when the file location details are viewed.	Easier to see current information.
(g)	The system must include a secure read only document storage area for 3rd party viewing for example social worker from another local authority.	
(h)	To be able to annotate documentation within the EDRMS.	
(i)	The system should automatically apply a security marking to documents at the time they are printed (e.g. mark a file with a strap line at the top of a document containing a form of words of the Council's choice)	Please refer to **Government Security Classifications** that were published in Apr 14 and replaced the previous Government Protective Marking Scheme (GPMS).
(j)	The system should have the ability to quickly source and extract all records relating to an individual person who has had contact with RMBC Social Services	This supports the requirement for requests for Personal Data (Subject Access Requests) where a person can request all written records about them. The new system needs to make it simple (one button extraction) to source all records about an individual and extract them (preferably to PDF) to enable the records to be reviewed and redacted as appropriate before being provided to the requester.
(k)	If records have been disposed of then the system should make this obvious at the time of extraction and explain why / when a record was deleted about an individual.	
(l)	The System could have the ability to extract all records relating to an individual professional – or alternatively	This be useful for cases of complaints against an individual

	Requirement	Comments
	a list of all individuals that have contact with an individual professional	that works for RMBC

2.3.32.17 Data and Reporting Requirements

RMBC currently use a variety of reporting platforms and wish to standardise reporting practices.

2.3.3218 In-built Reporting Solution Requirements

This section relates to the pre-defined reports provided as standard with the system.

	Requirement	Comments
(a)	The in-built reports must have the ability for end users to drill-down to between data levels.	
(b)	The in-built reporting solution shall run reports and display in a variety of graphical formats.	
(c)	The in-built reports should be able to be exported in a free/open file format.	
(d)	The in built reporting solution must have an audit trail of reports run, date, time, user etc.	
(e)	When carrying out reporting using the in-built reporting solution, the system must not be impacted in terms of performance.	
(f)	All data fields, including locally defined fields, must be contained within the in-built reporting solution provided by the tenderer, thus allowing the Authority to report on all data fields within the system. It must be possible to report on these fields in any combination required.	
(g)	The in-built reporting solution provided must include the capability to schedule reports to run at predetermined times/dates and send reports via the email system to users.	
(h)	The in-built reporting solution should have the flexibility for end users to amend formatting when outputting reports.	
(i)	The system must provide pre-defined in-built reports for all current and future national statutory return reports as standard. The returns must be in line with the requirements set out in the latest guidance from the appropriate government departments and must be implemented within a timely manner and reviewed on an on-going basis.	
(j)	All in-built statutory return reports must have a high degree of local configurability.	

	Requirement	Comments
(k)	It must be possible to view the underlying code behind all in-built statutory return reports and / or to view extensive technical specifications.	
(l)	The system should provide in-built exception reports, which can be repeatedly run, to identify where data is incomplete or inaccurate and would cause a statutory return to fail or be reported inaccurately.	
(m)	The system should provide in-built reports provided to support Ofsted Inspection requirements such as Annex A.	
(n)	If in-built statutory return reports are provided by the supplier they should include the ‘raw data’ as well as the summary data. The ‘raw data’ should be in a format that can be opened up in MS Excel or loaded into MS Access. This is required for error checking and to correct any data inaccuracies.	
(o)	There should be the ability to present end users with report parameters, date criteria, filters etc. within all in-built reports.	
(p)	In-built reports should be able to be output by print, email or exporting a local file format. Printed reports should contain user name, date, time of print, criteria of filters selected.	
(q)	The in-built reporting tool used should allow end users to schedule reports themselves. It should be possible to constrain the time frame within which users can schedule reports.	
(r)	It should be possible to embed in-built reports into the menu structures of the case management system.	
(s)	In-built reports need to be available via the mobile working solution in a compatible format.	
(t)	A requirement of the in-built reporting system is that the security is invoked to ensure that the user of the report only has access to information pertinent to their role e.g. contextualised, names removed, no access to records restricted to the user etc.	
(u)	The in-built reporting solution should include general flexibility in reporting that allows any user responses to be excluded, mapped or grouped, e.g. using flags to differentiate between Adult and Children.	N.B. the data structure needs to support this and to make reporting easy (for example through the use of flags etc.).
(v)	The in-built reporting solution needs to	

	Requirement	Comments
	have user security levels applied to ensure that users are only allowed to view reports and data relevant for them, and that the system only allows them to use the functionality of the system as defined by the system administrator.	
(w)	Report authors/ system administrators will need to be able to specify which user profiles can view which in-built reports. This should not override security settings that specify the data the user has access to.	

2.3.32.19 User-Defined Reporting Solution Requirements

This section relates to any reporting solution provided which allows the creation and publication of user-defined reports within the system

	Requirement	Comments
(a)	The proposed user-defined reporting solution shall provide the ability for reports to be written and presented to authorised users of the system showing comprehensive management information which incorporates both historical data and real time data (where real time data means that there is no delay while system information is refreshed).	
(b)	The proposed user-defined reporting solution must have the ability for end users to drill-down to between data levels.	
(c)	The proposed user-defined reporting solution shall run reports and display in a variety of graphical formats.	
(d)	User-defined reports should be able to be exported in a free/open file format.	
(e)	The proposed user-defined reporting solution must have an audit trail of reports run, date, time, user etc.	
(f)	It may be possible to create complex queries by linking to external data sources alongside the data held in the proposed solution	
(g)	When carrying out reporting using the user-defined reporting solution, the system must not be impacted in terms of performance.	
(h)	All data fields, including locally defined fields, must be contained within the user-defined reporting solution provided by the tenderer, thus allowing the Authority to report on all data fields within the system. It must be possible to report on these fields in any combination required.	
(i)	The system must provide a self-serve	

	Requirement	Comments
	drag and drop style solution is available within the user-defined reporting tool.	
(j)	Any information representation layer (e.g. data universe) must be updated when new versions / upgrades to the system are provided; ensuring that locally defined data is maintained and not deleted.	
(k)	The user-defined reporting solution provided must include the capability to schedule reports to run at predetermined times/dates and send reports via the email system to users.	
(l)	The user-defined reporting solution used should include the capability to have live dashboard functionality that nominated users can create and amend and configure.	
(m)	The user-defined reporting solution should have the flexibility for end users to amend formatting when outputting reports.	
(n)	Any user-defined reports should have the flexibility to be modified easily, by RMBC to meet local requirements after development.	
(o)	RMBC must be able to create user-defined reports, as and when required, using the appropriate reporting tools without in-depth technical knowledge for example drag and drop data sets / fields.	
(p)	The user-defined reporting solution should have sufficient flexibility to allow report writing to be carried out by mainstream end users assuming access to reporting writing functionality is user profile defined.	
(q)	The user-defined solution should enable a range of different types of report to be run, including but not limited to: • Time span reporting (real time) • Point in time reporting (using date criteria)	Time span reporting is useful for checking work progression, data tidy-up etc. Point in time reporting is suitable for most reporting requirements.
(r)	There should be the ability to present end users with report parameters, date criteria, filters etc. within all user-defined reports.	
(s)	User-defined reports should be output in the same way as the standard inbuilt reports by print, email or exporting a local file format. Printed reports should contain user name, date, time of print, criteria of filters selected	
(t)	The user-defined reporting tool used should allow end users to schedule reports themselves. It should be	

	Requirement	Comments
	possible to constrain the time frame within which users can schedule reports.	
(u)	It should be possible to embed user-defined reports into the menu structures of the case management system.	
(v)	User-defined reports need to be available via the mobile working solution in a compatible format.	
(w)	A requirement of the user-defined reporting solution is that the security is invoked to ensure that the user of the report only has access to information pertinent to their role e.g. contextualised, names removed, no access to records restricted to the user etc.	
(x)	The user-defined reporting solution should include general flexibility in reporting that allows any user responses to be excluded, mapped or grouped, e.g. using flags to differentiate between Adult and Childrens.	N.B. the data structure needs to support this and to make reporting easy (for example through the use of flags etc.)
(y)	The user-defined reporting solution needs to have user security levels applied to ensure that users are only allowed to view reports and data relevant for them, and that the solution only allows them to use the functionality of the solution as defined by the solution administrator.	
(z)	Report authors/ system administrators will need to be able to specify which user profiles can view which user-defined reports. This should not override security settings that specify the data the user has access to.	

2.3.32.20 External Reporting Requirements

This section relates to reporting from the data held in the system using external BI tools.

	Requirement	Comments
(a)	The data storage platform must be a recognised industry standard format (such as SQL, Oracle etc.).	
(b)	The data tables must be open to extraction and interrogation by widely used BI tools in a transparent and intuitive structure.	

2.3.32.21 Data Migration

	Requirement	Comments

(a)	Children & Adult data is stored in a number of systems and databases, including, but not limited to Northgate CCM/AIS/SWIFT. It is a requirement that data is migrated from these systems into the supplied system or appropriate document storage before go live.	

2.3.32.22 Data Management

	Requirement	Comments
(a)	The system should provide the relevant workflow facility to manually match and merge a user defined record with an existing client record that has been submitted via any "Internal" or client facing interface that system provides (e.g. ranging from CRM to an e-form on RMBC Website).	N.B. Service users should not create their own records. Any self-assessments should feed into a workflow. The workflow should allow the system user to merge any relevant information onto a selected record.
(b)	The system does not leave orphaned data behind or can provide housekeeping reports to highlight orphaned data (This is to ensure items do not get lost in the system and/or orphaned data seen in isolation ends up being used – all causing issues in case management by care workers).	
(c)	Nominated users should be able to insert/amend/delete all data via the front end of the system and this must be auditable.	
(d)	The proposed solution shall allow RMBC to take outputs from other systems and to automate a bulk insertion of the data into the system.	

2.3.32.23 Record Management and Data Retention

	Requirement	Comments
(a)	The proposed solution shall allow RMBC to archive or delete information stored within its own databases in accordance with our data retention policy and data protection act, and to schedule this to happen automatically.	A core requirement of the system is to provide facilities to remove client records at the end of their retention period. A core requirement is to remove all data and transactions related to the individual. A core requirement is that the delete is a physical delete, not a logical delete.

	Requirement	Comments
(b)	Any archiving functionality should be configurable to allow routine and ad hoc archiving of data. The system needs to be flexible in defining what data is archived.	There should be functionality to allow access to archived data for system administrators, users, data administrators, and finance users.
(c)	Data protection responsibilities mean that there should be a time limit for data retention. This retention period must be configurable by record type. Need to be able to define and capture the information that is the 'trigger' for the beginning of the retention period for different types of records, e.g. a case being 'closed'.	Need to consider Children's data retention policy, Data Protection Act, Adoption, Child Protection.
(d)	The system should cater for record deletion that can be defined as a number of years after 'No Further Action' or Case Closure. As well as automated destruction of records the solution should also be able to flag up records due for destruction (so that the destruction date can be extended if required).	
(e)	A data dictionary is required to aid data management and reporting processes.	
(f)	Ability to flag items due for disposal	
(g)	Ability to close records so that no further edits may be made to them e.g. retrospective changes	
(h)	Ability to delete items at a set date so that they are not kept for longer than is necessary	
(i)	The system must allow a multiple criteria to weed (select) records for disposition (e.g. type of record, and time elapsed since trigger)	
(j)	The solution should be able to create a list of records destroyed; the minimum amount of information for each record is to be agreed at a later date, but should include unique reference number and date of disposition.	

2.2.33.23 Financial Requirements

A key component of the overall solution will be to support the generation and management of financial information relating to care assessment and provision. The solution should be seamless with minimal manual intervention and duplication which follows the business process from initial assessment including Financial Assessment through to changes in Service Provision. The Case Management System has a Finance Module and has integration with Corporate Finance Systems and enables the following payments to be made and we would expect any new solution to deliver this capability as a minimum.

Specific finance functionality will need to be associated with the following activities:.

- £640,000 per week on Residential Care, Supported Living and Free Nursing Care
- £133,000 per week on Domiciliary Care (Older People)
- £20,000 per week on Domiciliary Care (Physical Disability)
- £3,500 per week on Domiciliary Care (Learning Disability)
- £185,000 per week on Direct Payments
- Between £450,000 and £500,000 per month on Supporting People
- £85,000 per week on Foster Carer Payments

2.3.32.24 General Finance Requirements

	Requirement	Comments
(a)	System must be capable of recording data which enables the provision of the adult social care finance return.	
(b)	The system must include financial commitment and control systems which allow the management and interaction of finance. This should include self funders and enable financial activity tracking using the councils 4 part accounting key.	Cost Code Nominal, detail and fund
(c)	System must include the ability to carry out batch jobs to support year end processing and uplifts.	
(d)	Commissioned and approved care packages within the Social Care System should be available within the finance system.	
(e)	The financial solution must be fully integrated with the social care case management system.	
(f)	The solution must have the ability for customers to do an on line financial assessment	
(g)	System must include debt management functionality. including but not limited to: • Production of letters • Balance tracking • Reporting ability	
(h)	The system must be able to support multiple security user profiles for different types of finance users.	
(i)	All finance functionality must include the ability to revise any end dates entered in the system.	
(j)	The system should support finance in the management /control of workloads and work allocation to staff.	
(k)	The system must be able to interface to other systems including: • E5 ABS suite • Interfaces must be two way	

	Requirement	Comments
(l)	The ability to store payment / invoice reference numbers.	Details of the citizen must not be passed through to the corporate financial system
(m)	The system will allow for the secure storage of client/customer information, including bank details to allow automatic creation of payees/customers in the corporate finance system.	
(n)	The system must have the ability to correctly calculate a women's retirement age in relation to her date of birth	
(o)	The system must be able to store payee reference types and record these on any generated payment exports. Security measures must be in place in order to keep payee details secure. Providers must comply with the PCI-DSS security standards.	
(p)	Ability to record non delivery of service for which RMBC will still be charged separately from any actual delivered service. I.e. different business rules for charging and payments.	E.g. unplanned non-attendance at a Day centre - i.e. suspend charges to the citizen but make payments to the provider.
(q)	Client demographic data within the finance system must be controlled and updated by the case management system.	Data transfer must be configurable.
(r)	Ability to calculate back dated or claw back values when changes to the period of service provision occurs.	
(s)	Flexible payment periods to include but not limited to 4 weekly, monthly, one off or recurring payments as specified in the care plan.	

2.3.32.25 Residential Finance - Residential Notification of Purchase /Purchase Order Forms

	Requirement	Comments
(a)	The solution should provide an electronic placement agreement form integral to the system.	Historically forms have been paper based and often go missing.
(c)	The form needs to provide a breakdown of the service elements, and cost rates needed to provide the service.	For Financial Assessments etc.

2.3.32.26 Residential Service Set Up

	Requirement	Comments
(a)	The system must have user access control to ensure that information can only be amended by the correct person(s)	
(b)	The system must have the flexibility to allow different types of service to be added. These include but are not limited to: • Internal and External services • Residential Homes • Nursing Homes • Self-funders • Management of money (appointeeship) • Short term / long term / interim care	
(c)	All financial functionality and information on a service user needs to be linked (as part of a case not part of a process) including but not limited to: • Service User • Service Agreement • Charges • Benefits • Suppliers • Pension Collections • Personal allowances • Third Party Payments.	
(d)	The system must have the ability to hold costing information in different ways, including but not limited to: • Cost per unit of service provided • Or cost of the service based on an amount entered by the systems user. • In time units	
(e)	The system needs to hold information on suppliers, a breakdown of all the services/products they provide and the cost of those services. This must include both addresses of homes & their head offices.	Needed to set up service agreements and for the proper costing of agreements. The home address & the head office address.
(f)	It must be possible to process changes of suppliers for services.	
(g)	It must be possible to input budget codes manually or set the system to automatically produce these from given data.	
(h)	Under the Care Act, self-funders will have the right to ask the LA to arrange services for them. It should be possible to record if the LA is involved on this basis.	

2.3.32.26 Residential Supplier Pay Run

	Requirement	Comments
(a)	The solution needs to support the use of an integrated payment calendar with a range of payment periods. The calendar needs to be automated and to include a range payment periods, including but not limited to: • Four weekly • Individual selected dates It should be possible to take account of bank holidays and any other adjustments when setting payment schedules.	Payments need to be processed in batches as control method. This allows the finance team to know what payments have been processed and what period of time any queries will relate to. The solution should be regarded as the procured social care system and Financial working together. The social care system will need a calendar to support the provision of a due date to Financial.
(b)	Suppliers should be paid against a contract (individual placement agreement) for each service user.	All residential payments are made based on a service agreement / contract for services for the service user.
(c)	It must be possible to set up periodic payments on a contract.	
(d)	The processing of pay runs should be as fully automated as possible.	
(e)	Ability to drill down costs to service user level and get a balance per service user.	
(f)	There must be a facility to process claw-backs of overpayments. Claw-backs should be generated automatically by the system within the supplier invoice processing functionality.	
(g)	The system needs to record the date of death separately from the service end date.	To support the payment of extra payments to the supplier after the date of death. There should be the facility to pay for a specified number of days after death at the gross fee.
(h)	The system must have the ability to record absences such as hospital stays and make any adjustments to charges and payments relating to that absence.	
(i)	It must be possible to pay suppliers gross or net of the service user's contribution towards the cost of their	.

	Requirement	Comments
	care. It must be possible to provide a breakdown or flag between gross and net payments if needed. The service costs and contributions towards the cost of a service must be linked in the system in order to support this requirement.	
(j)	A remittance advice is required for suppliers. The Remittance advice must include the following information: • Service User ID/Name • Amount paid for that Service user • The period of time the payment is for per service user • The applicable cost rate • Breakdown between care charge and funded nursing care and third party • Plus/minus any adjustment per service user • Sub-total of the amount paid per service user Total paid for all service users for the invoice period The remittance advice must be presented in manner that is easy for suppliers to understand.	
(k)	Remittances must be amendable up to the point of authorisation for payment.	
(l)	The system must be able to suspend payments.	
(m)	Remittance Advice's must be generated for the supplier by the system. These need to be in electronic, e-mail or paper format. It must be possible to generate paper based remittance advices.	The method in which the remittance advice is provided needs to be flexible as different suppliers will operate in different ways and have different levels of functionality within their own systems.
(n)	Suppliers should have access to view, download and print their remittance advices via self-serve capability from the web.	
(o)	Self service via a supplier portal should also include information reporting, such as: • Change of address • Change in circumstances • Self-service functionality should be provided to both service users and suppliers	
(p)	Payment transactions must be automatically generated by the system.	
(q)	It must be possible to create one off payments for individual clients or	

	Requirement	Comments
	homes.	
(r)	Invoices should be automatically generated by the system. This should include the generation of an invoice number automatically or manually.	For reclaiming of any overpayment
(s)	The system must support net payments to care homes.	Net payment is total cost of care less clients assessed contribution

2.3.32.27 Residential Financial Business Rules

	Requirement	Comments
(a)	It must be possible to create separate business rule sets for residential and non-residential services, independent of service type or service user type.	N.B. One service user may link to residential and non-residential rules.
(b)	The system must manage the entry of financial business rules and which can be configured locally.	
(c)	The system must support the entry of multiple sets of financial assessment rules, including but not limited to: •Benefits •Long stay services • Short stay services The system must be kept compliant with legislative changes to financial business rules.	
(d)	The entry of financial business rules must include benefit rules and disregards.	
(e)	It must be possible to enter financial business rules in line with a national set of figures/ parameters. The system must be flexible enough to cater for all types of finance rules and the setting of the parameters needed.	
(f)	It must be possible to enter a proposed set of financial assessment business rules, to check (preview) the rules for accuracy and then make a final submission of the rule set. This must be amendable.	
(g)	It must be possible for the finance team to enter the Financial Assessment business rules on the system, based on role security.	Assessments are based upon benefit & care guidelines
(h)	The system needs to hold information on debt accrued to a property owned by the service user.	

2.3.32.28 Residential Financial Details

	Requirement	Comments
(a)	It must be possible to locally define what financial information is collected, i.e. the ability to enter financial business rules.	
(b)	The system needs to support the collection of financial details from the service user to support cost breakdowns for third party top ups, additional services, top-up services	
(c)	The recording of financial details for residential care and non-residential care must be supported by the system separately.	
(d)	The system must have the ability to record all financial information about a service user needed, including but not limited to: • Income • Benefits (including applicable amount based on a predefined scale) • Capital • Property • Expenses • If the service user is paying full cost • The financial assessment review date	
(e)	The system must provide a facility to add notes against each item recorded on the financial details and be able to view the notes either by individual topic or as a whole notes history.	
(f)	It must be possible to hold a history of financial information relating to the service user in chronological order.	
(g)	It must be possible to insert a record into the chronological historical information.	
(h)	The system must support the recording of multiple addresses for a service user, including but not limited to: • Billing address (including the bill recipient's name) • Correspondence address • Address of any property owned by the service user • A flag to indicate the type of address • It must be possible to record separate addresses for financial purposes from an address to denote the current location of the service user for operational purposes	
(i)	Where a billing address is changed the system should have the facility to retain the old address against older invoices.	Person dealing with finances can change & the earlier person may be responsible for these debts
(j)	It must be possible to record separate	

	Requirement	Comments
	addresses for financial purposes from an address to denote the current location of the service user for operational purposes.	
(k)	The system should support the recording of e-mail addresses and mobile telephone numbers relating to a service user and anyone with a relationship to that service user.	
(l)	The system must have the ability to record the details of the Finance Officer dealing with a particular case. This would support mail merging contact details into assessment letters/invoices/bills and reporting by officer for management purposes.	Ability to identify the person who input the details
(m)	The system must have the ability to record different types of relationships to the service user. The relationship types should include: • Appointees and advocates	
(n)	The types of relationship must be configurable locally. It must be possible to define the order that relationship types appear on pick lists within the system.	
(o)	The system must have the facility to be able to identify client / service users in a variety of ways by use of indicator fields.	

2.3.32.29 Residential Financial Assessments

	Requirement	Comments
(a)	The system must have the facility to complete mobile assessments (see mobile working requirements).	
(b)	Financial Assessments must be based on the service user’s financial details and multiple Financial Assessment rules that apply to adult residential care and benefit regulations.	
(c)	The system must hold current / historical benefit rates and allow for the annual increase of these.	Assessments means tested and therefore require current and past benefit information regulations.
(d)	The financial assessment must be linked to a service user’s record and a service agreement.	N.B. for non-residential the financial assessment would be linked to the care package.
(e)	The system must support multiple financial assessments, annual financial reviews and the recording of the results of the financial reviews.	
(f)	Financial assessments must have the	

	Requirement	Comments
	facility to be amended/deleted. All historical assessments need to be accessible.	
(g)	The solution must include the ability to produce annual reviews, template forms for annual reassessment, which can be amended and data merged. The system should provide the ability to automate annual reassessments based on new rates of benefit.	Capability to update system with relevant financial information which would automatically produce a annual review rate.
(h)	The system must be able to calculate the outcome of a financial assessment automatically.	The system must be able to automatically produce a charge based upon the clients income & the rules regarding residential care
(i)	It must be possible to manually overwrite the output of any system generated calculations for financial assessment purposes. The override of this must be visible to the user and it must be possible to report on this.	Don't want to see the system generated amount if it has been manually overridden, but it needs to be retained for audit purposes and to identify where the system has been overruled. **May need to recalculate the financial assessment outcome if more information is received on more than one occasion.**
(j)	The care episodes and assessments should be interlinked.	
(k)	The system must hold descriptions of all standard benefits / pensions and this should be updateable.	Stops descriptions of the same income being described differently.
(l)	The financial assessment must be based on the recorded circumstances of the service user, including whether they are part of a couple.	
(m)	The solution must support the generation of Financial Assessment Letters, using mail merge functionality on a selected individual or group of service users. This must include: • Multiple standard letter templates • Production of assessment letters on service user by service user basis • Links to the most recent (previous) financial assessment • A calculation sheet showing how the	Need to send the results of the latest financial assessment and any changes and charges to the relevant person. A breakdown of the calculation needs to be provided.

	Requirement	Comments
	charges have been calculated for the upcoming period • Historical records of letters sent • Include multiple charges, breakdowns and dates that the charges apply from • The user must have the ability to select whether the generated letter is displayed or altered in MS Word or sent straight to the printer • The user must have the ability to select whether the generated letter is displayed or altered in MS Word or sent straight to the printer	Finance need to see which financial assessment relates to the letter that has been generated /sent. Must be able to merge various data such as but not limited to property, debt, third party, direct debits.
(n)	It must be possible to produce bespoke letters.	
(o)	It should be possible for Finance users to make changes to the Assessment Letter templates. The ability to do this should be defined by system user role.	Control of amendments of the templates should be restricted by user profile.

2.3.32.30 Residential Charging

	Requirement	Comments
(a)	The social care system needs to support the calculation of charges to the service user and subsequent billing to the service user or third parties. The calculation for charges must be on a weekly basis with automatic pro-rata adjustments where a service /charge is not for the whole week.	The cost of a service or a contribution is calculated on a weekly basis, but is pro-rata based on actual start and end dates.
(b)	The accommodation charges must link to the care episodes.	The financial assessments must link to the periods of care taken to show the cost of a placement and the clients contribution towards that placement.
(c)	It must be possible to record multiple assessments against individual service users and each period of residential care provided.	
(d)	The system must support the production of multiple invoices per service user. It must be possible to generate separate bills for residential and non-residential service charges. The system must support the following charging methods: • Billing / invoices • Property Debt Discharges • State Pension / work pension / superannuation Collection • Net payments to residential homes (deducted from supplier payments) • BACS (for private pensions and	

	Requirement	Comments
	charges to other local authorities)	
(e)	The system must be able to identify which items of income are received directly and which are not and adjust the rate accordingly.	Some clients we act as appointee for have other incomes for which we have to invoice.
(f)	Charges must be displayed in a chronological order.	
(g)	A history of previous charges must be retained on the system and easily viewed by the user. The type of charge must be displayed when viewing historical records on charges these must be amendable.	The amount and type of charges may change over time as the service user's financial circumstances change.
(h)	It must be possible to record where services are exempt from charges.	At the moment a zero rated contribution is added.
(i)	The social care system needs to support the ending of charges to the service user or other parties.	
(j)	The system must be able to report on aged debtors and identify stages of recovery according to the age of the debt.	

2.3.32.31 Third Parties

Third Party Top Ups are where a family member makes a contribution towards the care of the service user. This is where a relative has agreed to pay for additional services on top of those funded by RMBC.

	Requirement	Comments
(a)	The system must support the recording of Third Party Top Up charges as a separate account (but linked to the client) in its own right. The Third Party must be linked to the client.	E.g. if a relative wants the service user to be in a particular home, when there are alternatives available that meet the assessed needs of the service user. The social worker will also need to see why a certain home has been used as part of their case work.
(b)	It must be possible to set up more than one third party for a client at a time and specify the amount each third party will be paying.	
(c)	For Third Party Top Up charges the system must support the recording of	Will need to see the relationship to the

	Requirement	Comments
	the relationship to the service user.	service user and record contact details of the relative, particularly for invoicing purposes.
(d)	Separate invoices are needed for contributions from third parties to the invoice provided to the service user.	Third Party contributions need to be invoiced separately to the service user's contributions.
(e)	It must be possible to input differing start and end dates from that of a care episode for third parties.	Third party contributions can be made by more than one individual.
(f)	It must be possible to increase / decrease the rate of a third party and retain a record of rates charged.	Rates of third party can vary over time and we need to keep a record of this.
(g)	The system must support the recording of all accrued charges against a property and display a running total of the property debt matched against the most recent valuation of the property.	

2.3.32.32 Properties

	Requirement	Comments
(a)	To support the management of property debts the system must hold the following information: • Urgent property value (equitable value and market value) • Flag to indicate there is a charge registered against the property • A warning if the limit of the property value is being approached	Legal Services will put the charge on the property. Finance just record the fact that the charge exists.
(b)	The system must be able to keep a record of the amount of the accrued debt.	
(c)	The system must be able to show the reduction of equity in the accrued debt with each invoice period.	
(d)	The system must be able to produce separate property invoices.	
(e)	The system must be able to produce property debt statements showing breakdown of interest and admin charges as and when required.	
(f)	Must be able to manually note from what date the property is being taken into account for charging purposes - i.e. there must be the facility to input a start and end date.	The end date must be inserted so the system can calculate a predicted end in equity and the deferred payments agreement.

	Requirement	Comments
(g)	The system must have the facilities to deal with all the amendments to deferred payments in regard to the care act including (but not limited to) the charging interest, for admin fees, keeping a record of valuations, choice of pa amount(minimum disposable income allowance), recording any land registry ref numbers. The system should be able to generate reports and correspondence as required on the nature and progress of Deferred Payments Agreements.	The asset can be another item of value not only property.
(h)	The system needs to be able to take into account all aspects of the care act that is due to come into affect in April 2016	Due to the nature of the requirements on self-funding clients access to some elements of the system from October 2015 would be very welcome to record eligibility of self-funders who are assessed in anticipation of April 2016.
(i)	Interest rates on accrued charges with deferred payments - must have option to freeze rate if required.	Will also need the facility to charge interest on non deferred payments property debts - not all citizens may choose to enter into the agreement. interest rates continue to accrue after a persons death or discharge until the debt is repaid.
(j)	The system must keep a record of why a property is being disregarded & the facility to record on these cases to check that the disregard is still relevant.	Circumstances behind a disregard may change due to outside events.

2.3.32.33 General Residential Services Finance

	Requirement	Comments
(a)	Start dates on the service agreement should be used as guidance for the entry of any charges to the service user and/or other parties automatically but should be amendable by finance.	The start date of a service may vary for a number of reasons from that originally agreed so needs to be adjustable.
(b)	End dates of local authority contributions must not be limited to	End date of the contribution needs

	Requirement	Comments
	being defined as equal to the end date of the services provided in the case of death.	to be kept separate from the end date of the service agreement as suppliers are paid an additional three days for residential care to allow for room clearance if the client in care passes away.
(c)	The system must be flexible enough to allow the amendment of charges and set dates for individual charges and different collection types. This should include the amendment of the end dates associated with contributions. Should also allow capability to charge either per day or per night	It must be possible to change dates on service agreements and contributions in case incorrect details are initially sent through or errors are made on data entry.
(d)	It must be possible to change the dates on both the service agreement and the contributions without needing to adjust the cost of the service or the amount of the contribution. It should be possible to dates against both the service agreement and the contribution at the same time, from one screen.	This should not result in the system automatically adjusting the charges
(e)	User access control - it must be possible to limit the amount of access a user has to individual screens, and restrict to no access, read only or full access. If different teams are able to view same account, e.g. if citizen has transitioned from home care to residential, residential care financial records must only be amendable from that point onwards by residential team.	It is an audit requirement to allow different users access, also need to view log file reports of who has actioned account changes.
(f)	It must be possible to determine which team a case is open to. Team names, details & members information should be accessible & linked to the client.	E.g. one screen to enter the details of a change of team which controls the processing associated with one record or a number of records as a batch.
(g)	Descriptions of services and charges should be displayed on financial screens in words, not using codes. If full descriptions cannot be shown, a partial description should be displayed and it should be possible to hover the mouse of the code to see the full description.	
(h)	There must be a flag for identifying where services are jointly funded with	There are some joint/pooled

	Requirement	Comments
	another organisation and it must be able to identify which organisation. It must be possible to show both organisations contributions.	budgets to pay for some service provision. In the past RMBC has paid for services and then collected the funding from the other organisation.
(i)	The information exchange with Financial for charges as a minimum need to include: • Service user ID • Service User's name. • Finance Officer details	
(j)	The solution must include the ability to collect payments by direct debit.	
(k)	It must be possible to amend direct debits, collect payments by direct debit (even if the client is not in care).	
(l)	Must have the facility to amend annual parameters and run financial year end reporting.	
(m)	It must be possible to define whether a service is VATable or Non-VATable for charging purposes. The default should parameter driven by the authority.	

2.3.32.34 Residential Service User Debtor Invoices

	Requirement	Comments
(a)	The solution must generate invoices for charges to be sent to debtors. The wording of the invoices must be very clear and simple. Including but not limited to stating period(s) charged, rate of charge, home, client.	
(b)	The system must allow the entry of additional information on a debtor invoice.	May have to enter additional information to explain why an adjustment has been included on the debtor invoice. The ability to do this reduces the number of queries made by service users on their invoices.
(c)	It should be possible to view and amend the invoice, if necessary, before the invoice is printed.	Electronic version should match the printed version. This reduces the need to print an invoice just to see what it looks like.
(d)	The solution must allow the definition of	Similar to the

	Requirement	Comments
	processing dates relating to charges.	payment calendar for supplier invoicing. Finance need all charges to be processed on a defined date for control purposes and to support the answering of service user enquiries.
(e)	The solution must provide a facility for setting up payment plans and associated standing orders or direct debits for a specific period, linked to an individual service user.	
(f)	Any adjustments to billing addresses of residential services must be actionable by the finance section.	The billing address is the person responsible for the payment of charges & should not be changed without authorisation.
(g)	Each invoice generated by the system or manually produced must have a unique invoice number for reconciliation purposes. The invoice number should be interfaced to Financial via Middleware.	
(h)	Must be able to reprint invoices as and when required	
(i)	The system must have credit control facilities and the ability to produce reports (both system and self produced)	
(j)	The system must allow for the need to transfer funds / payments between accounts.	
(k)	Must be able to produce statements as required - this needs to be date specific.	

2.3.32.35 Benefits and Personal Allowances (PA's)

	Requirement	Comments
(a)	The system must provide functionality to support RMBC's role as an appointee for some service users.	
(b)	The solution must provide exception reports for mismatches between benefits paid and the social care system regarding pension collections. These must include (but are not limited to): • Non Payment of Pension • Unexpected amounts • Where the amount received differs from the expected amount	Mismatches, relating to pension money received from the DWP, need to be investigated and corrected. May lead to a possible re-assessment of the service user.
(c)	It must be possible to process PAs on the system	PA is the amount of the pension given

	Requirement	Comments
		as ‘personal allowance’ to the service user. The rest of the pension will go towards the cost of the care provided. This can be both residential care and community care.
(d)	The ability to keep payee details and produce statements.	
(e)	Ability to split payments of PA.	
(f)	Ability to use PA towards charges or debt.	
(g)	Ability to be able to charge for appointeeship.	
(h)	Ability to suspend payments.	
(i)	The system must support the collection of pensions on behalf of partner organisations. It must be possible to place a flag on the service user’s record to indicate which cases fall into this category.	

2.3.32.36 Joint Funding

	Requirement	Comments
(a)	The system must support the identification of joint funding arrangements.	Again, an administration fee is charged.
(b)	It must be possible to fully record all transactions associated with that service user.	Need full records of the service users monies.
(c)	The system should support the recording of different types of financial service user, including but limited to: • Full Cost Payers • Contributors • PCT funded • Joint Funded	For easy recognition of full cost payers & self-funders and reporting purposes RMBC will have a record of self-funder’s where the service user previously received Council support for the payment of the cost of their care.
(d)	It should be possible to record where services have been ended due to the service user becoming self-funding.	No commitments should be created as a result of recording this information.

2.3.32.37 Non Residential Finance - Non-Residential Service Set Up

	Requirement	Comments
(a)	It must be possible to cost services using a range of unit types including: • An hourly rate • A weekly rate • Per unit • Per block contract.	
(b)	The system must support the set- up of a range of external & internal non-residential services including but not limited to: • Home care • Supported Living • Transport • Day Care • Meals • Direct Payments • Voluntary sector contracts • Foster care and residential services • Supported lodgings	
(c)	It must be possible to set up open ended purchase orders or service agreements, which generate commitments to the end of the current financial year.	
(d)	It must be possible to end services when they are no longer required and record the reason why the service has ended. Linked to 8.1.1 it must be possible to amend or remove any end date.	
(e)	Any Purchase Order form generated from the system needs to provide a breakdown of the service elements, cost rates and types of staff needed to provide the service.	
(f)	It must be possible to apply a notice period at the end of a service agreement based on the contractual agreement with the provider. It must be possible to override the notice period.	
(g)	It must be possible to set up a retainer payment to a provider to hold a placement.	
(h)	A form needs to provided, giving a breakdown of the service elements, cost rates and types of staff needed to provide the service.	For Financial Assessments etc.

2.3.32.38 Non Residential Finance - Provider Payments

	Requirement	Comments
(a)	The system must be able to generate automated payments made to providers.	
(b)	The system must allow for activity information to be imported from a locally defined return, manually input or generate service history dependant on type of service. This information should only be entered once but used both to charge citizens and pay providers.	See Provider Portal requirements.
(c)	The system must support on-line completion of activity returns by providers.	
(d)	Payment dates must be able to be either (at minimum) set as regular 4 weekly, weekly or produced for any selected date on request.	Most payments will be generated on a 4 weekly basis, we must have the ability to generate payments as required in between these dates.
(e)	The system must support the recording and reporting of actual spend on all service types.	It is very important to be able to monitor actual spend on services. Applies to residential services as well.
(f)	The system must allow for manual input of any invoices received that cover services not covered by the automatic payment including VAT invoices.	For when activity information isn't complete or in the case of one off payments for exceptional situations.
(g)	The system must be able to assign budget codes to all payments at an individual level. These codes should be generated by the system using locally definable rules.	
(h)	The system must be able to link payments to both providers and individuals.	Ability to report against either
(i)	The system must allow for the suspension of payments and charges to both providers and individuals when necessary.	
(j)	Payment business rules must be able to be locally defined in line with RMBC policy.	When to include third party costs (health) or exclude them (ILF)
(k)	The system must allow for the commissioning, recording, charging and **payment** of contingency packages with irregular activity patterns.	
(l)	Payment process must be user specific and able to be set locally. The system	Must be able to split the functions of

	Requirement	Comments
	must allow for clear security roles to be set.	payment generation and approval to pay.
(m)	It must be possible to set up and carry out reconciliation of BACs payments.	Actual payment collection is done in Financial but this information needs to be collected in the social care system and interfaced to Financial.
(n)	Payments generated by the system must be able to be manually adjusted. Any adjustments must be recorded and alterations seen in a clear audit trail.	

2.3.32.39 Non Residential Finance - Financial Assessment Rules

	Requirement	Comments
(a)	The system must allow the entry of business rules for the collection of financial details and Fairer Charging Assessment calculations	See Residential Finance Business Rules.
(b)	The system must provide flexibility in which business rules are set and how the parameters associated with each are defined. (I.e. the business rules are locally configurable).	Fairer Charging business rules are discretionary for example day care capped at £5
(c)	The business rules should include default settings in line with national (DOH) guidelines with an over-ride facility.	The DoH sets minimum charge amount as 125% but local authorities can charge more than this if agreed under local policies.
(d)	It should be possible to define contribution amount caps. It must be possible to switch the cap on or off per type of service or across all services received by the service user.	
(e)	It must be possible to define which service types contributions are payable against.	Not all services are included in the Fairer Charging policy.
(f)	It must be possible to enter business rules to support the calculation of charges based on standard rates and by means testing, as appropriate.	
(g)	It must be possible to enter business rules to calculate 'Couples' as single assessments as per the Care Act but respecting the treatment of income as per the DWP rules.	

2.3.32.40 Non Residential Finance - Financial Details

	Requirement	Comments
(a)	It must be possible to record the financial details about a service user on the system this must include: • Disability Related Expenditure (DRE) • Housing costs and other expenditure • Benefits received, all income, savings & capital	
(b)	The system should allow for the use of notional income and capital in financial assessments. This will be introduced as part of the Care Act in 2015 in response to issues around deprivation.	
(c)	The system should have a central reference point for recording common items of data used in financial assessments.	I.e. Dictionaries to hold items such as benefits that do not require repeated manual input.
(d)	It should be possible to specify mandatory fields to be completed.	
(e)	It must be possible to record the details of the service user's financial circumstances needed for means tested charging calculations including the application of manual (debit/credit) adjustments.	
(f)	It must be possible to record partial financial details for an interim financial assessment.	
(g)	It must be possible to update partially completed financial details once the full financial circumstances of the service user are known (based on the previous record of the financial details).	
(h)	The entry of full details of the service user's financial circumstances must prompt the reprocessing of the financial assessment and calculation of the contribution amount.	
(i)	The system must include the ability to view historical financial detail records and provide an audit trail of who added/amended/removed information.	

2.3.32.41 Fairer Charging and Non-residential Financial Assessments

	Requirement	Comments
(a)	The solution could include an appointment booking system for non-residential financial assessments. The appointment booking system should include the following functionality: • Letter / document generation for appointment confirmation/reminders • The generation of a printable schedule of visits • The visit schedule should include details about the visits • A possible link to outlook diaries or a	

	Requirement	Comments
	shared calendar • The ability to generate automatic SMS text reminders for the service user	
(b)	The system must be able to calculate the outcome of a non-residential financial assessment and assigns bandings for different outcomes.	
(c)	The system must be able to generate letters from MS-Word templates based on the outcome of financial assessments.	
(d)	The system must support the checking and authorisation of a non-residential financial assessment calculation by a separate person to the user recording the financial assessment. It must be possible to configure the controls for the authorisation of non-residential financial assessments separately to residential financial assessments.	
(e)	The system must be able to store uploaded documents for individual citizens.	
(f)	It must be possible to record electronic notes against each citizens financial record.	
(g)	The solution should include a modelling system for non-residential financial assessment outcomes, over all the non-residential services provided to an individual service user. The system should include the functionality that allows for the modelling of costs, contribution and charges to predict future income and expenditure.	In effect budget estimates that can be adjusted until correct. May not have all the correct details when first calculating a financial assessment. May want to check different scenarios to see which best suits the service user, where there is discretion to do so. Impact of Personal Budgets and service budget cuts currently unknown.
(h)	The solution must include functionality to produce a financial statement that include a breakdown of the charge calculation and contributions. The breakdown should include: • What the potential cost is • What the service user actually pays within any limits/caps entered in the	Need to provide the service user with details of how their contributions have been calculated.

	Requirement	Comments
	financial rules	
(i)	The solution should support the receipt of payments or be able to interact with other payment systems such as web pay. Tenderers must be compliant with PCI and the **PA-DSS** standard.	

2.3.32.42 Appeals against Fairer Charging Decisions

	Requirement	Comments
(a)	The solution should include the ability to record when appeals against the outcomes of Fairer Charging/Financial Assessments are received and measure the time taken to respond.	

2.3.32.43 Non-Residential Charging

	Requirement	Comments
(a)	To support the introduction of the Care Act, the adjustment of the contribution amount after the financial assessment has taken place must take into consideration any payments already made.	
(b)	The system must support an external debt management system.	
(c)	It must be possible for financial teams to view social care re-assessment dates.	Finance can then highlight where there are financial problems to the social worker, so the social worker can take this into consideration when carrying out the re-assessment. This could be via scheduled reports that show all re-assessments due the following week.
(d)	It must be possible to flag cases where joint or other funding applies. It should be possible to locally configure the types of funding that apply. Record funding arrangement and adjust charges accordingly according to business rules.	Continuing health care funding may apply.
(e)	Ability to set charges against planned or actual charges. It should be possible to upload service actuals Ability to generate service history.	
(f)	Intermittent CPLI's. Charging must	

	Requirement	Comments
	support.	

2.3.32.44 Electronic Home Care Monitoring

	Requirement	Comments
(a)	Charging for contributions towards the cost of homecare must be based on the information provided via Electronic Care Monitoring either through your own home care monitoring solution or via interfacing with another system i.e. the actual time spent on providing homecare on a weekly basis.	

2.3.32.45 Direct Payments and Personal Budgets

	Requirement	Comments
(a)	The system should record returned funds against direct payment service costs.	
(b)	The recording of Financial Assessment outputs must include analysis of gross and net of contribution payments to the service user for personal budgets and direct payments.	For accountancy/audit purposes need the gross calculation of the contribution amount. For direct payments, RMBC pays the service user net of any contribution (otherwise would pay the service user and then ask for money back).
(c)	System must be configurable to allow financial contributions to be prioritised against direct payments over other commissioned services.	
(d)	The system must calculate and create payment exports that interface with the corporate finance system (E5 ABS). These payments must be able to be manually adjusted	
(e)	The system must be able to produce various documents to support running Direct Payments including but not limited to: • Letters to citizens • Costing sheets	
(f)	The system must be able to store information on the citizens: • Indicative Personal Budget • Agreed Personal Budget • Service usage and cost • Citizen contributions to care The system must be able to produce a	

	Requirement	Comments
	locally definable annual statement.	
(g)	The system must be able to identify where services are part of a Personal Budget.	
(h)	The system must be able to claw back in instalments.	

2.3.32.46 General Accountancy Requirements

	Requirement	Comments
(a)	The system must support the recording of actual spend on service provision, split down into service type, including Direct Payments.	
(b)	The system must support the entry of a matching payment date to RMBC's main finance system, E5 ABS.	Need to be able to reconcile social care system to Financial.
(c)	The system must hold a Payment Due Date and the date the payment was approved.	
(d)	The system needs to support reporting on activity based data e.g. number of service users, per cost band etc.	
(e)	The system needs to hold data on budgets, committed spend for each financial year and actual spend per financial year.	
(f)	It must be possible to model and carry out a bulk update (uprate) of costs based on either a percentage increase/decrease or a fixed amount. Changes to costs must be effective from a specifiable date and be applied to all relevant services from the effective date automatically.	
(g)	It must be possible to upload/download data to/from the system from spread-sheets or files.	
(h)	The system must support the preparation of year end accruals.	Information needs to be extracted at year end of the activity recorded in the system but that has not been paid to support accruals in the main finance system.
(i)	Ability to input budget codes and derive rules for automatic allocation of budget codes to commissioned services.	

2.3.32.47 Continuing Health

	Requirement	Comments
(a)	It must be possible to flag Continuing Health Cases in the case management system.	
(b)	It must be possible to record either the percentage or the fixed value of the health contribution towards the service that is paid by health and the date the percentage applies from.	Proportion paid by health can differ and change over time.
(c)	The system should support applying the percentage or fixed value against the planned and received (actual) amount of service delivered	
(d)	The system should be able to generate estimates for a given period of time of the continuing health care contribution.	
(e)	It must be possible to set up service user records on behalf of other organisations within the system and be able to identify these cases separately through reporting. There must be some means of identifying these cases.	Hold clients on behalf of Third Parties, 100% health funded cases or personal health budgets.
(f)	It must be possible to record the continuing health care by Citizen and by service a breakdown of the costs involved.	
(g)	Ability to set start dates for continuing care and be able to set historic dates.	
(h)	The continuing care contribution must not contribute towards the citizen care cap (Care Act).	
(i)	The system needs to provide functionality to support the breakdown/identification of which organisation pays what in joint funding cases.	Need to cross reference health, social care, & housing. There are complicated care plans which cover a range of services across these.

2.3.32.48 Financial Reporting (See Reporting Section for Reporting Requirements)

	Requirement	Comments
(a)	The system must support the production of reconciliation reports to support the payment of invoices and collection of contributions.	
(b)	Reporting of financial information should include: • Committed spend to the end of the current financial year, part year and/or monthly • Actual spend to the end of the current year, part year and/or monthly • Forecasting of spend for full financial year	
(c)	The system must support the ability to be able to report flexibly against a range	

	of areas such as budget code, provider, service type, Primary Support Reason (PSR).	
(d)	The system could generate / support the completion of the statutory Adult Social Care Finance Return (ASC-FR).	
(e)	The system must support the ability to generate exception reports based on locally defined rules.	

2.3.32.49 Fostering and Adoption - Adoption, Residency and Special Guardianship Assessments

	Requirement	Comments
(a)	The system must support the recording of the level of qualification / accreditation achieved by the Foster Carer and the type of service provided by the carer. Services can be rated by the age of the child and the level of care provided.	Supports the setting up of allowances. Supports authorisation to set up services and allowances.
(b)	The system could provide functionality to calculate and record the details of means tested assessments for Adoption, Residency and Special Guardianship Orders.	The Assessments are completed manually.
(c)	If functionality is provided to record the assessment and calculation of the amount to be paid, functionality must also be provided for authorisation of the payment by a different person.	For audit purposes the person assessing the financial situation and the amount to be paid cannot also make the payment.
(d)	The system should be capable of flagging when annual reviews are due. This should be configurable locally.	Adopter / special guardianship / residency orders require financial re-assessment on annual basis.

2.3.32.50 Fostering and Adoption - Payment of Allowances

	Requirement	Comments
(a)	The system should support specialised foster care / day care services with the ability to set rates.	
(b)	The system could include the ability to archive service agreements which have been incorrectly added.	Could apply to residential and non-residential services as well.
(c)	It should be possible to extend the end date of a service agreement. It should be possible to extend the end date retrospectively.	This is needed for extensions to foster care stays, which finance could be notified about after the extension has occurred.
(d)	The system must support the recording of allowances payable to foster carers	

	Requirement	Comments
	and in adoption cases, special guardianships, residence orders, connected people	
(e)	Allowance payments must be based on business rules. This functionality should include: • A new rate on a birthday band based on the date of birth • A history of changes made with, all changes displayed in a chronological order	
(f)	The types of allowances and the business rules that apply to each type of allowance must be locally definable.	Finance should be able to define the allowance types and business rules (as they do currently).
(g)	Birthday and Christmas allowances need to be payable in advance. It should be possible to set up different rate bands for Birthday and Christmas allowances.	
(h)	The system must support the payment of set amounts relating to Special Guardianship, residence orders, living allowances and Adoption Orders.	
(i)	The system must support the payment of regular, periodic and ad hoc allowances. The regularity of the payment should be definable by the type of allowance.	E.g. annual birthday allowance, weekly Foster Carer allowance, ad hoc travel expenses. Pay run is weekly but ad hoc payments can be made at any time.
(j)	Facility to be able to make an advanced payment run and allow adjustments to the payment.	
(k)	The system needs to support the preview and authorisation of allowance payments.	
(l)	The system must support the processing of one off payments for additional expenses relating to fostering care and adoption.	May need to make one off payments for damage, arrears etc.
(m)	It must be possible to define the payment period/date for fostering and adoption allowances or ad hoc payments.	There is a pay run every week. However, it may be more flexible to request that the payment could be made at any time or periodically for ad hoc payments.
(n)	The solution must support payment of allowances by	

	Requirement	Comments
	• BACS • Manual payment	
(o)	It must be possible to place the payment of allowances on hold or to stop the payment of an allowance.	
(p)	Ability to close an order when the placement ends with a particular provider. The system should prompt the user.	
(q)	The system must support the recovery of overpayments to foster carers and residential providers.	Children come and go on a regular basis, often at short notice.
(r)	Claw-backs should be automatically calculated by the system on closure of an allowance, based on the pro-rata overpayment for an individual child. It must be possible to manually adjust the amount of over payment. Claw-backs should be able to be redeemed in instalments.	Currently get a report to show overpayments so adjustments can be made.
(s)	The system must generate an invoice to the foster carer to support the return of overpayment of allowances, where it is not possible to use the claw back method. The details of the child previously placed with the foster carer should not appear on the invoice.	Foster carers will be invoiced for overpayments where there are no children currently placed with the foster carer. I.e. no allowances are being paid from which a claw back could be deducted. A child can leave a placement at one day's notice. It may take more time to allocate a replacement foster child to a foster carer. Therefore, there will be periods of time where no children are placed with a foster carer. Can restrict access to information in Financial. Can hide the information from everyone or can allow certain user's to view the information.
(t)	To be able to view the transaction history of a provider or foster carer and	

	Requirement	Comments
	any financial notes associated with the record.	
(u)	Transactional data for both allowance payments and claw-backs should be interfaced to E5 ABS.	
(v)	The solution must include exception reporting to identify where there are mismatches in payments between the social care system and RMBC's corporate finance system.	In the past control reports have been used for audit purposes, but if the information is recorded in a system and exception reports are provided, there should be no need for manual checking and sign-off of the interface between the social care system and Financial.
(w)	The solution must include the capability to produce Annual Tax Reports for Foster Carers. This includes but is not limited to: • Annual summary of allowance payments and claw backs made to each carer per child • The different rates applicable depending on the age of the child • The rate applicable based on the accreditation level of the foster carer and type of service provided	
(x)	It is desirable to be able to manage loans to purchase cars within the system. Deductions would be made from foster carer payments and a statement at end of the year that shows how much owed would need to be produced.	

2.3.32.51 Care Act

	Requirement	Comments
(a)	The system must meet the requirements of the Care Act in order for the authority to meet statutory requirements.	Access to some elements of the system from October 2015 would be very welcome, to record the eligibility of self-funders who are assessed in anticipation of April 2016, to create anticipatory Independent Personal Budgets and to prepare for

	Requirement	Comments
		Care Accounts.
(b)	The system must support the pending changes to financial recording and reporting as a result of the implementation of the Care Act.	
(c)	The system must be able to transfer case information, including information about prisoners and care accounts electronically to and from another local authority and directly populate the social care system.	
(d)	The system must manage care accounts and support the recording and tracking of care costs and production of personal budget statements in whatever form this may be required by the Care Act Guidance. It should also be possible to generate projections of when an individual is likely to reach the cap and when they may become eligible for support.	This should include the ability to stop the clock or facility to set the PB or RPB at zero to recognise those with fluctuating needs. Should allow for projections to be shared with individuals in their care account statement or through an online portal to support their financial planning.
(e)	The Care Act allows local authorities to delegate functions to a third party, the system must allow for this.	

2.3.32.52 Online Portal and eMarket Place

The Council is developing its digital capability over the next few year via its “Choosing Digital” Strategy where access to services is offered on-line first and foremost. In addition RMBC currently use Connect to Support for Adult Social Care.

2.3.32.53 General Online Portal Requirements

	Requirement	Comments
(a)	RMBC has a programme of work to implement a corporate Citizen Access Portal for all citizens to be able to access Council services. The Citizen portal will need to integrate with the social care system to bring back any matched citizens. Any enquiries or information logged in the Citizen portal / CRM solution will need to be populated within the social care system. This may be via the tenderers solution, Connect to Support, the Council Website or another solution.	
(b)	There must be an integrated online secure portal facility which allows a	

	Requirement	Comments
	variety of users access to view and update social care data including: • Service Users (Citizens) / Carers • Providers: Home Care Agencies / Supported Living providers • Partner Organisations: such as NHS Health providers, schools, health visitors • To be able to log in (with their Unique ID) and access information that is available to them as per their user defined profile • Ability to accept federated access is desirable to enable single sign on Appropriate security must be in place to ensure the system meets Data Protection.	
(c)	The online portal must have accessibility for users with disability, especially visually impaired, e.g. built in screen reader functionality.	
(d)	The online portal must be mobile optimised for use on various smart phones, tablets devices.	
(e)	The online portal must be customisable locally in terms of ability to brand the site / portal	

2.3.32.54 Optional requirement - eMarket Place Solution

	Requirement	Comments
(a)	RMBC currently use Connect to Support for Adults to access social care related products and services, ideally the tenderer will be able to provide a case management system that will link to the existing solution.	

2.3.32.55 Partner Portal

	Requirement	Comments
(a)	Ability for designated partners to have role based access to historic and current records within the social care system.	Requirement to support integrated working between health and social care and education.
(b)	Ability for partners to be able to complete forms based on role permissions.	
(c)	Ability for partners to have read only access to relevant information and 'write' access to information required from partners.	

2.3.32.56 Provider Portal

	Requirement	Comments
(a)	Provider access should include the ability to: • Send documents securely • Allow providers to submit activity information in a format suitable for import into the finance system • Allow providers to submit request for payment (invoices) • Allow providers to view remittance advise • Allow providers to update details such as address and contact details	

2.4 Safeguarding

The Contractor has an obligation to report any concerns about the treatment of vulnerable adults and children that they may witness in the course of their work. Any concerns must be reported to "CART" The Contract And Referral Team on 01709 823987.

2.5 Duration of Resultant Agreement

Subject to satisfactory performance to the criteria described within this document, the appointed Tenderer will be expected to provide **Services** according to the specification defined in 2.3 above initially for a period of **5** years, with the option to extend at the sole discretion of RMBC for a further **2** years, each on a year by year basis.

2.6 Use of Affiliates and Sub-Contractors

All affiliates and sub-contractors nominated by the Tenderer for the partial provision of supplies and services associated with this ITT will be considered by RMBC as domestic, and the Tenderer will remain responsible for all such affiliates and sub-contractors unless otherwise agreed in writing.

Tenderers are at liberty to nominate different or additional affiliates and sub-contractors (including any nominations already indicated or inferred thus far in the procurement process) at any time prior to presentation of their bid making any proposed changes clear during such presentation. Unless notified to the contrary, RMBC will assume that such changes will affect neither the substance of the Goods and services offered nor the prices of those Goods and services.

2.7 Account Management

The appointed Tenderer(s) will need to assign at least one Account Manager to address RMBC's needs. This Account Manager must be available to provide, or arrange, support to various RMBC Departments across all activities in their bid. The appointed Tenderer(s) must confirm such names and outline how their account management team will provide enhanced pre- and post-sales support to RMBC within 2 weeks of their identification as preferred Tenderer.

The appointed Tenderer(s) shall submit a monthly report to RMBC procurement detailing performance to contract (see Section 2.10 for KPI and 2.11 MI requirements). Regular meetings shall also be held between the appointed Tenderer(s) and RMBC to review performance to date.

2.8 Order/Invoice procedure

Purchase Orders will be issued from RMBC, who shall provide the successful Tenderer(s) with an official purchase order number.

Invoices must be sent to the following address and marked as stated:

RMBC Purchase to Pay Team,
Wing 2C
Riverside House
Main Street
Rotherham
S60 1AE

All Supplier Invoices must quote the relevant official Purchase Order number issued by RMBC. Any Invoices which do not carry such an official Purchase Order number will be immediately returned to the Supplier, which will result in payments being delayed through no fault of the council.

RMBC is willing to look at all means of simplifying current Purchase Order/ Invoice activity including Purchase Cards, invoice consolidation and e-Invoicing in its strive to modernise the procurement cycle and improve efficiencies across the business.

Tenderers should be prepared to outline their suggestions for such simplification if invited to present their bid.

3. The Bid (for completion by the Tenderer)

RMBC has designed this ITT in such a way as to facilitate objective and balanced evaluation of Tenderers' responses by the RMBC Team. This can only be achieved in the outlined timescales if all of the responses conform to a consistent format. This section of this ITT defines that format of responses required of all Tenderers.

3.1 Pricing and Method Statements

Tenderers must show prices for items shown in the **separate spreadsheet ref 14-005 Social Care Case Management Solution provided.** Prices offered must exclude VAT, but include delivery and installation and be net of any manufacturer discount and any manufacturer bid support.

RMBC does not bind itself to accept the lowest or any bid and reserves the right to accept any bid in whole or to split the award to more than one bidder based on the most competitive tender for each lot.

Prices submitted should be valid for acceptance for at least 90 days.

3.2 Method Statements/Quality Questions

Method Statements / Quality Submissions (Please complete in the boxes provided below)

Questions 1 to 23 are to be completed if you are submitting a bid for Social Care Case Management Solution which is externally hosted

Questions 1 to 14 are to be completed if you are submitting a bid for Social Care Case Management Solution which is hosted by RMBC.

Question 1	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 5**
Please detail how you ensure your product is current and incorporates the latest thinking in social care, changes in legislation and statutory requirements and an indication of turnaround times for meeting these. Please give examples of recent developments to your system; also give details on those developments that are on your development road map. Details of any established user groups and they contribute to product development and the product road map.		
Question 2	**This question is going to marked under the Aesthetic and functional characteristics section of the scoring matrix**	**Weighting 5**
Please detail how your systems enables effective case management for both Children's and Adult's Social Care. As a minimum please include reference to: • Ease of use • Ensuring that practitioners follow good practice and the requirements set out in Working Together • Statutory safeguarding requirements are met for both Children's and Adult's Services, including identification of risk and risk management • The journey and voice of the child is evident throughout all core functionality • How the system can support the workforce in adhering to statutory and local timeframes • Clear links between, contact, referral, assessment, plans and reviews • Supporting the personalisation agenda		

- Management oversight and decision making
- Workflow
- Average response times on a standard network

Question 3	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 5**
Please detail how you intend to meet the requirements of the Care Act in order for the authority to meet statutory requirements.		
Question 4	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 5**
Please detail how your solution enables effective practice in relation to Early help services, Child Sexual Exploitation and Multi Agency Safeguarding Hubs.		
Question 5	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 4**
.Please evidence how your system supports third party access by partner agencies. This should include any integration with NHS data spine service and links with the NHS summary care record.		
Question 6	**This question will be equally split across the following criteria:** **Technical Merit & Technical Assistance**	**Weighting 5**

Please describe how integration is managed and indicate whether you have successfully interfaced with any of our systems as identified in section 2.1.3.

- Specify current APIs that are available and whether they are included in the contact pricing

Question 7	**This question will be equally split across the following criteria:** **Technical Assistance & Aesthetic and functional characteristics**	**Weighting 5**

Please detail how your system supports the generation and management of financial information relating to care assessment and provision. Please explain how you could incorporate Supporting People Finance with core Social Care Finance functionality.

Question 8	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 5**

Please provide details on the level of mobile and off line working functionality provided by your system and how it works in conjunction with workflows, eforms, EDRMS and system security. Please explain synchronisation facilities and the “checking in and out” of case work. Specify what mobile devices are supported by your solution.

Question 9	**This question is going to marked under the Aesthetic and functional characteristics section of the scoring matrix**	**Weighting 5**

Please provide details around the variety of reporting tools and functionality the system can offer / integrate with, including pre-written in-built reports, integrated report-writing tools, end-user reporting functionality and the flexibility to integrate with other third-party reporting solutions. Please state the support arrangements for the in-built reporting tool, if a Third Party supplies this product, and what – if any – limitations apply. Please provide a full list of in-built reports provided as standard detailing name, description of report, applicable service area. Please state which user-defined reporting tools are utilised with their system. Any hardware and licencing requirements and costs are to be detailed. Please state the support arrangements for the user-defined reporting tool, if a Third Party supplies this product, and what – if any – limitations apply. Tenderers are asked to provide information regarding their approach to user-defined reporting.

Question 10	This question is going to marked under the quality section of the scoring matrix	Weighting 5
Please confirm that your solution meets the entire requirements set out in section 2.3. Please detail below any areas where your solution is not compliant and how you are seeking to rectify this.		

Question 11	This question will be equally split across the following criteria: Technical Assistance After Sales Service Delivery date and delivery period	Weighting 5
Please detail how you would implement your solution; detailing your own resource requirements and please include timescales and any resources that would be required from Rotherham Metropolitan Borough Council. Please provide examples of previous system set up processes. Tenderers must detail an outline implementation plan as a minimum. This should include: • Installation • Configuration • Interface development • Data migration • Testing • Training and knowledge transfer • Support arrangements • Go live		

Question 12	This question will be equally split across the following criteria: Technical Assistance & Delivery date and delivery period	Weighting 5

Child and Adult (including Supporting People) data is stored a number of systems and databases, including, but not limited to SWIFT/CCM/AIS and EDRMS (Wisdom). It is a requirement that data is migrated from these systems into the supplied system or appropriate document storage before go live. Please indicate how you will manage the interface with an external EDRMS solution. Please provide a migration plan on how you intend to migrate from the systems below, giving references for other sites where migration has taken place. The solution should provide facilities to import data in bulk. Please provide information on the volume of data and the systems you have migrated data from and what learnings you have had from these previous migrations. • Please detail any extra storage requirements for migration. • Please specify what data migration resources and activity is undertaken by the supplier and specify the level of data migration activity to be undertaken by the local authority		

Question 13	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 5**
Please describe how you intend to approach to end user training, project team training, systems admin training, report design and development training, including knowledge transfer to RMBC staff. • Please specify what training resources and activity is undertaken by the supplier and specify the level of data migration activity to be undertaken by the local authority		

Question 14	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 5**

Please detail how you would manage this contract; please give information on the account manager that would be responsible for our account and what experience they have of managing this type of project. Also give information on your contract review processes

Question 15	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 4**

Please provide details in respect of the maintenance and support arrangements you will offer including:

- Standard hours for support
- Is all support in-house or third party
- Coverage outside normal working hours and indication of costs
- Procedure for logging, tracking and escalating calls
- Details of SLAs including response and fix times
- Frequency and implementation of software upgrades

Question 16	**This question is going to marked under the quality section of the scoring matrix**	**Weighting 4**

Is the Application/Service included in the scope of your IT Health check? Please describe how you undertake your IT Health Check.		
Question 17	**This question is going to marked under the Technical Merit section of the scoring matrix**	**Weighting 2**
Describe how your solution segregates data logically from other tenant's data within Data Centre.		

Question 18	**This question is going to marked under the Quality section of the scoring matrix**	**Weighting 4**
Does your solution have documented processes for the following areas? If so please provide copies. • Retention Policy • Configuration Standards • Patch Management • Disaster Recovery/Business Continuity • Encryption Key Management • Access Control • Incident Management • Secure Data Disposal Process including WEEE regulations • Capacity Management		
Question 19	**This question is going to marked under the Quality section of the scoring matrix**	**Weighting 4**
Please describe what network layer vulnerability scanning processes and tools are in place? (Including monthly scanning, intrusion protection etc.)		

Question 20	**This question is going to marked under the Quality section of the scoring matrix**	**Weighting 3**
Please describe the processes and tools that are in place to ensure timely patching of hardware, software and firmware?		

Question 21	**This question is going to marked under the Quality section of the scoring matrix**	**Weighting 3**
What anti-malware programs are installed on the systems that protect the application?		

Question 22	**This question is going to marked under the Quality section of the scoring matrix**	**Weighting 3**
What boundary protection is in place to protect the application? (proxies, firewalls, hypervisors, vulnerability scanners, network sniffers etc.)		
Question 23	**This question is going to marked under the Quality section of the scoring matrix**	**Weighting 3**
Please provide details of authentication to the application		
Question 24	**This question is going to marked under the Technical Merit section of the scoring matrix**	**Weighting 3**

Please provide a logical architecture diagram - include onwards connections, geographical detail and data flow with encryption

3.3 Price Variation Mechanism Following Fixed and Firm Price Period

Prices submitted in 2.1 should be fixed and firm for a period of at least 12 months following acceptance by RMBC.

If your organisation can offer fixed and firm prices for a longer period of time, please indicate in the box below how long you can sustain them for;

Your Organisation can hold Fixed and Firm Prices for a period of;	Please Tick
12 Months (minimum)	
24 Months	
36 months	
48 Months	
60 months (maximum)	

3.4 Indices for the Request of Any Future Price Variations

Your organisation should indicate in the box below the Indices that it wishes to be considered for use when reviewing potential price variations after the period of time indicated in 2.3. These will be agreed at the time of the potential price variations.

Indices	Description

3.5 Cost Drivers

What are the most significant cost drivers that affect the selling price of your product (e.g. salaries and wages ~40%, fuel ~20%, steel price ~15%)?

These may be used to analyse price variations.

Cost driver number	Cost driver	Estimated percentage
1		
2		
3		
4		

3.6 Volume Rebates

The Authority operates a scheme for Volume Rebates against expenditure; the provider(s) are encouraged to submit their proposals in the table below;

The Procedure;

Both parties within set periods of time after the award of the agreement will agree and confirm the level of volume rebate due to the Authority based on the expenditure with your organisation, The Authority will then raise an invoice requesting payment based on the agreed amounts; this can then be paid by your organisation either by BACS or cheque (no credit notes).

Full details will be provided on acceptance.

Trigger point (£)	**Rebate %**
Insert Value range 0 – 25,000	
Up to 60,000	
Up to 95,000	
Up to 175,000	

An example of how the rebate will be calculated based on a rebate offer in the table below is as follows:

Trigger point (£)	**Rebate %**
0 – 25,000	**3%**
Up to 60,000	**5%**
Up to 95,000	**10%**
Up to 175,000	**20%**

An annual spend of 150k would be - £25,000 x 3% = £750 rebate payable

An annual spend of 250k would be - £60,000 x 5% = £3,000 rebate payable

An annual spend of 350k would be - £95,000 x 10% = £9,500 rebate payable

An annual spend of 450k would be - £175,000 x 20% = £35,000 rebate payable

3.7 Early Payment Discount

Early Payment Discount for Invoices

The Authority operates a scheme for the prompt payment of Invoices for the provider who is willing to offer early payment discounts for actual payments made within 30 days, your proposals should be listed in the table below;

The Procedure;
Once the provider has completed the scheduled delivery / service or requested works and these have been verified as complete, the provider can then raise an Invoice and send this for processing to the Authority .(These invoices can be sent electronically minimising any delays for processing; the e-mail address will be confirmed on the award of this agreement).

Any Invoices not processed by the Authority within the agreed timelines will not be subjected to the Early Payment Discount Scheme, except those that are delayed by the provider.

Payment period from receipt of Invoice sent electronically after the works has been completed.	**Early Payment Discount %**
Up to 7 days	**%**
Up to 10 days	**%**
Between 11 and14 days	**%**

3.8 Terms and Conditions of Contract

The Crown Commercial Services terms and conditions of contract for any agreement let as a result of this ITT are shown in Section 3. Offers made subject to alternative terms and conditions may not be considered and may be rejected. Tenderers should document any specific issues with either the General or Special terms and conditions detailed in Section 3 in the space below and propose alternatives as necessary.

Specific clause/ sub-clause	Issue	Proposed alternative

Tenderers should note that it may not be possible to negotiate further terms and conditions after identification of the preferred Tenderer.

3.9 Freedom of Information Schedule

Tenderers shall complete this Schedule to identify which elements of their tender submission they deem to be commercially sensitive or confidential and the reasons why.

Element of Tender	Commercially Sensitive or Confidential	Reasons

3.10 Intention to Use Affiliates and Sub-Contractors

In tendering for the above, Tenderers must identify below all affiliates and sub-contractors (save those suppliers of minor detail) that they intend to use, and the particular supplies or services that will be provided by them and for which the Tenderer will remain contractually responsible.

Supplier Name	Contact Name	Address	Contact Telephone & email address	Description of the type of Supplies / Service or Works they supply

3.11 Proposed Key Performance Indicator Reporting

In tendering for the above, Tenderers should agree to the attached key performance indicator (KPI) document; 'RMBC KPI document for insert tender description.
KPI's to be sent through by the 6th day of each month.

Please propose key performance indicators (KPIs) that are not covered within our own document. These will be reported on a monthly basis or a timescale to be agreed by both parties. The final detailed KPIs will be agreed with the successful tenderer(s) prior to acceptance of their bid.

Proposed KPI reporting should include as a minimum some measure(s) of savings, of delivery of quality and apprenticeship training where applicable.

KPI Measure	Target	Key Input	Trigger Level
E.g. system uptime	100%	Monthly report from supplier	95%

3.12 Assumptions

Tenderers are free to make any assumptions necessary to enable them to submit a bid. However, where such assumptions are materially important to any key element of their bid, Tenderers are encouraged to seek clarification before proceeding on the basis of that assumption (see Section 1.1.2).

All assumptions made must be fully documented below. Detailed reasoning should accompany the assumption explaining clearly why it was made, and stating the consequences to their bid if the assumption proves invalid.

Any assumptions clarified during this procurement process prior to submission of the bid should also be detailed along with details of how the assumption was removed.

Assumption	Reason assumption made	Consequences of invalid assumption	Clarification of assumption given, if any (what, who, when)

3.13 Additional Information

Tenderers should provide any other information they feel is directly relevant to their bid, whether requested elsewhere in this ITT or not, as additional appendices/ documents to their bid. Please state these documents below:

Tenderers should not, however, re-send any information already forwarded during the pre-qualification stage of this procurement process. Neither should they send information on supplies and/ or services completely outside the scope of this ITT.

3.14 Declaration of Non-Collusive Tendering

1) I/We certify that this tender is made in good faith, and that I/we have not fixed or adjusted the amount of the tender by or under or in accordance with any agreement or arrangement with any other person. I/We also certify that I/we have not and I/we undertake that I/we will not before the award of any contract for the work:-

   (i) communicate to any person the amount or approximate amount of the tender or proposed tender, except where the disclosure, in confidence, of the approximate amount of the tender was necessary to obtain insurance premium quotations required for the preparation of the tender;

   (ii) enter into any agreement or arrangement with any person that they shall refrain from tendering, that they shall withdraw any tender once offered or vary the amount of any tender to be submitted;

   (iii) Pay, give or offer to pay or give any sum of money or other valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other tender or proposed tender for the work, any act or thing of the sort described at 1(i) or 1(ii) above.

2) I/We further certify that the principles described in paragraph 1(i) and 1(ii) above have been, or will be, brought to the attention of all sub-contractors, suppliers and associated companies providing services or materials connected with the tender and any contract entered into with such sub-contractors, suppliers or associated companies will be made on the basis of compliance with the above principles by all parties.

3) In this certificate, the word 'person' includes any persons and any body or association, corporate or unincorporated; 'any agreement or arrangement' includes any transaction, formal or informal and whether legally binding or not; and 'the work' means the work in relation to which this tender is made.

4) Should the contractor be found to have colluded with another contractor, the Council shall have the immediate right to cancel the contract and recover any consequential loss.

Date	
Contractor	
Address	
Signature	
Name	
Title	

Duly authorised to sign tenders and acknowledge the contents of the Anti - Collusion Certificate.

4 Terms and Conditions of Contract.

General Conditions for Social Care Case Management Solution

Please refer to the separate Terms and Conditions of Contract document on the YORtender system labelled as Call Off Agreement. These are CCS standard and subject to minor amendment

5 Form of Agreement

Having read and agreed to the conditions set out in Section 4 of this Invitation to Tender and subject to resolution of the issues identified in Section 3.8, we **[specify]** …………………………………………....., whose registered office is situated at **[specify]** …………………………………………...(Company registration number **[specify]**……………………………………………), offer to provide the Goods detailed to RMBC to levels of service specified and at the prices stated and at times to be specified by RMBC in future purchase orders and all in accordance with the instructions contained thereon and subject in all respects to the Conditions of Contract and provisions detailed herein.

We also agree that any terms or conditions of business published or issued by us from time to time or any terms or conditions of contract or general reservations which may be printed on any correspondence or documents emanating from us shall not form part of any contract resulting from this Invitation to Tender.

We confirm that this offer remains open for acceptance for a period of ninety (90) days from the date of return.

We understand that RMBC is not bound to accept the lowest or any tender it may receive in response to this Invitation to Tender and will not accept qualified or conditional tenders.

We confirm that prices quoted herein are fixed and firm for the period detailed in the bid and may only vary after that period by any agreed price variation mechanism.

We confirm that this is a genuine offer which is neither fixed nor adjusted in accordance with any agreement or arrangement with any other person.

We confirm that details of this tender have not been communicated other than to RMBC except where such communication was necessary for the preparation of the offer.

We confirm that no member or official of RMBC has been canvassed or approached directly or indirectly concerning the awarding of the agreement, or for the purpose of obtaining information on any other bid or proposed bid for the agreement

We understand that unless and until an agreement is executed or signed by me/us, this offer together with RMBC's written acceptance of it shall constitute a binding agreement between the RMBC and us.

We confirm that we have retained a copy of the bid and Invitation to Tender.

Yours faithfully,

Signature	
Name (Print)	
In the capacity of (Designation)	
Duly authorised to sign Tenders for and on behalf of	
Date	