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1<sup>ST</sup> December 2016

Dear Bidder

**RMCI 024 - CUSTOMER RELATIONSHIP MANAGEMENT SOLUTION**

**TENDERED UNDER CCS FRAMEWORK RM1042 Lot 4**

**SHROPSHIRE COUNCIL**

You have been invited to tender for the above requirement. With this letter please find enclosed a copy of the following documentation: -

- o Invitation to Tender including Instructions for tendering
- o Requirements Specification (Appendix 1)
- o Procurement Timetable (Appendix 2)
- o Generic User Requirements Specification for IT Systems to Manage FoI and EIR Enquiries

Tenders should be made using the enclosed Invitation to Tender including Appendix 1. Your Tender must be completed, signed and returned together with a signed copy of the 'Instructions for Tendering' through our Delta Tenderbox. You are recommended to keep a copy of all tender documents and supporting documents for your own records.

**Returning of Tenders**

The deadline for returning tenders is **NOON on 1st February 2017** any tenders received after this time will not be accepted. However, we would invite you to register your interest by the **10th December 2016**.

Tenders are to be submitted through Delta, our electronic tender portal.

- Please ensure that you allow yourself at least two hours when responding prior to the closing date and time, especially if you have been asked to upload documents. If you are uploading multiple documents, you will have to individually load one document at a time or you can opt to zip all documents in an application like WinZip. Failure to submit by the time and date or by the method requested will not be accepted.

personal info

- **Once you upload documentation ensure you follow through to stage three and click the 'response submit' button. Failure to do so, will mean the documents won't be viewable by the Council.**

Tenders must be made using Delta and **cannot** be accepted if:

- They are received by post, facsimile or email
- They are received after **12 noon on the given deadline**

### **Freedom of Information**

Under the provisions of the Freedom of Information Act 2000 from 1 January 2005, the public (included in this are private companies, journalists, etc.) have a general right of access to information held by public authorities. Information about your organisation, which Shropshire Council may receive from you may be subject to disclosure, in response to a request, unless one of the various statutory exemptions applies.

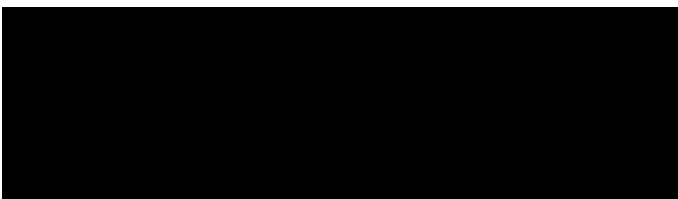
Therefore, if you provide any information to Shropshire Council in the expectation that it will be held in confidence, you must make it clear in your documentation as to the information to which you consider a duty of confidentiality applies. The use of blanket protective markings such as "commercial in confidence" will no longer be appropriate and a clear indication as to what material is to be considered confidential and why should be given.

### **Other Details**

Please note that if supplementary questions are raised by any tenderer prior to the closing of tenders and Shropshire Council decides that the answers help to explain or clarify the information given in the Tender Documents, then both the questions and the answers will be circulated to all enterprises invited to submit a tender.

If you have any queries relating to this invitation to tender, please contact me through the Delta Portal.

Yours faithfully



Commissioning Development and Procurement Manager  
Procurement & Contracts  
Enc

# Generic User Requirements Specification for IT Systems to Manage FoI and EIR Enquiries

Department for Constitutional Affairs

Job Number	5026830
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Author	[REDACTED]
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## SC Information Governance requirements (so far 20160811):

- export all or selected emails/documents and associated attachments in relation to specific or multiple cases as a single pdf document
- able to create/modify letters from templates
- able to create/modify emails from templates
- able to view activities/correspondence in a list view, showing sender/recipient, date and time, subject and if there is an attachment
- ability to bcc emails
- ability to send encrypted email
- file attachment sizes should match the attachments limits to the email system used, to avoid the issue where emails and/or attachments cannot be added to the case.

Flexible search across all open/closed case fields.

Export of all data fields to enable analysis/reporting outside of the system. Whilst we would expect the system to provide mainstream reporting, we don't want to be constrained by reports not being available/ waiting for development, etc.

Copy, cut and paste keystroke functions between Office apps and system (MS Dynamics does not do this).

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# 1 Executive Summary

## PURPOSE

- 1.1 The purpose of this document is to provide public authorities with a generic user specification for a system (or systems) to manage Requests for Information (RFIs) under the Freedom of Information Act 2000 or Environmental Information Regulations and any subsequent appeals.
- 1.2 It cannot be seen as a full requirements specification, but it does lay out which aspects are **essential** and should form the baseline of what must be contained / delivered by such a system(s).
- 1.3 The document is not prescriptive about the way in which requirements should be delivered. This is because public authorities operate in different business environments with different IT strategies and architectures.
- 1.4 The requirements are divided into two main sections:
  - **Functional Requirements:** Statements that specify what the system(s) must be able to do.
  - **Non-Functional Requirements:** Covering the way in which the system(s) should behave in respect of the compliance to external requirements (e.g. interoperability, legislative requirements) and elements of “good practice”.

## FUNCTIONAL REQUIREMENTS

- 1.5 The main functional categories associated with the system(s) include:
  - **Logging requests & appeals;** capture of information about applicants, RFIs and appeals;
  - **Workflow / process support;** assisting public authorities to follow their own processes for handling RFIs including assigning of requests, notification alerts, tracking and approval;
  - **Fees;** calculation and recording of fees associated with RFIs;
  - **Enquiries;** methods of locating RFIs and appeals that are held in the system and monitoring performance using a number of different views;
  - **Correspondence;** automatic generation of correspondence with the applicant at key stages in the handling process;
  - **Appeals;** assisting public authorities in managing each stage of the appeal process including internal reviews, appeals to the Information Commissioner and appeals to the Information Tribunal;
  - **Central Monitoring;** requirements for those public bodies covered by the central monitoring regime as specified by the Department for Constitutional Affairs;
  - **Reporting;** internal monitoring of performance using predefined reports, ad-hoc reports and the ability to export information;

- **Interfaces**; considerations in respect of possible interfaces with a public authority's own existing systems;
- **Online Access**; enabling applicants to make RFIs directly, track the progress of their requests, pay fees and view released information online;
- **Administration**; maintain access to the system, correspondence templates and business rules including those controlling data archiving.

## NON-FUNCTIONAL REQUIREMENTS

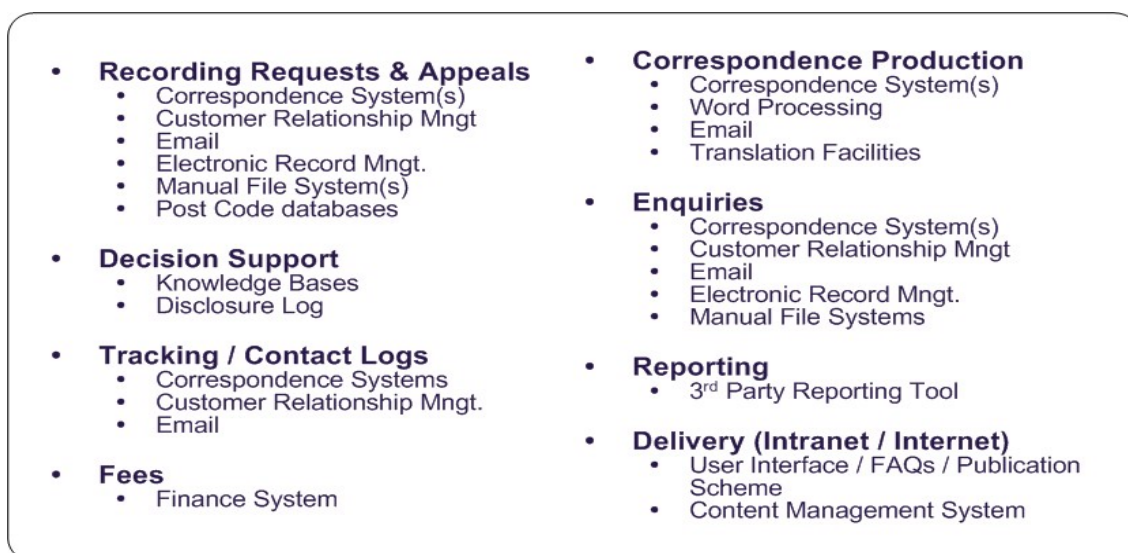
1.6 The main non-functional categories associated with the system(s) include:

- **Security**;
- **Language support** (including the Welsh Language Act 1993);
- **Documentation / Online Help**;
- **Training**;
- **Usability**;
- **Compliance with Standards** (including e-GIF, e-GMS, GDSC & Disability Discrimination Act 1995);
- **Backup & Recovery**.

## 2 Introduction

### PURPOSE OF THE DOCUMENT

- 2.1 The purpose of this document is to provide public authorities with a generic user specification for a system (or systems) to manage Requests for Information (RFIs) and any subsequent appeals, under the Freedom of Information Act 2000 (FoI) and the updated Environmental Information Regulations (EIR) that are both due to come fully into effect on 1<sup>st</sup> January 2005.
- 2.2 This document does not:
- Ensure that a public authority is fully compliant with the Act;
  - Define an interface between the management system and the public authorities own publication scheme;
  - Address system and implementation issues (as these will be specific to each public authority);
  - Cover the Freedom of Information (Scotland) Act 2002.
- 2.3 Initially, the most important thing a public authority needs to consider is where the management system should sit in relation to existing systems. Implementation of a new system is not necessarily required, as the requirements could be delivered by upgrading an existing system (e.g. a correspondence system). Consideration should also to be given to the need for development of any interfaces with other systems, some examples of which are shown below, grouped by functional requirement category:



**Figure 1: Interface Categories**

- 2.4 It is recognised that public authorities that intend to develop such a system(s) will be coming from very diverse positions reflecting the contexts in which they operate. As a result this document avoids being overly prescriptive about the way in which requirements should be delivered (i.e. whether they are handled by a single system or some kind of

interface to other systems or indeed delivered via manually-based processes); instead it concentrates on what the requirements are. While it is recognised that manual processes can be used to implement part or all of the specification, the specification does at times use the language of IT systems. However, it is hoped that it is apparent when this is the case how they can be translated into a manual system, for example, alerts when a deadline is near or exceeded could be a telephone call or manually produced email.

- 2.5 The generic user specification cannot be seen as a full requirements specification, but it does lay out which aspects are **essential** and should form the baseline of what must be contained / delivered by such a system(s).
- 2.6 Each public authority should consider their own specific business needs when establishing their own specification, which may result in requirements listed here as **highly desirable** being promoted to **essential** (or those being listed as **desirable** being promoted to **highly desirable**) and additional requirements being added to address specific policies or practices.
- 2.7 One such example is that some public authorities may want to extend the scope of a system they are developing/procuring to handle RFIs so that it includes Subject Access Requests under the Data Protection Act 1998 (DPA).
- 2.8 Where a public authority intends to use a system or systems to deliver the requirements, attention should be paid to the compliance with relevant government standards outlined in section 5 of this document, as these are **essential**.



## OTHER USEFUL REFERENCE MATERIAL

- 2.9 The DCA's monitoring regime for central government departments may also assist public authorities:

***Defining a Request for Monitoring Purposes & Proposed Criteria for Monitoring Access to Information in Central Government (Appendix E)*** – Department for Constitutional Affairs

***Coverage of Monitoring of Access to Information in Central Government (Appendix F)*** – Department for Constitutional Affairs

- 2.10 The following sources also contain additional information that may assist the public authority:

***Management of Freedom of Information Requests in Other Jurisdictions*** – (October 2003) Joyce Plotnikoff and Richard Woolfson (<http://www.dca.gov.uk/foi/impgroup/07-07c.pdf>)

***Lord Chancellor's Code of Practice on the discharge of public authorities' functions under Part 1 of the Freedom of Information Act 2000, issued under Section 45 of the Act*** – November 2002  
***A Guide to the "Lifecycle" of Requests under Section 1 of the Freedom of Information Act 2000***  
– Information Commissioner  
(<http://ico-cms.amaze.co.uk/DocumentUploads/Lifecycle%20of%20Requests.pdf>)

***Office of the e-Envoy*** - <http://www.e-envoy.gov.uk/Home/Homepage/fs/en>

***Government Category List*** - <http://www.govtalk.gov.uk/schemasstandards/gcl.asp>

***e-Government Interoperability Framework*** - <http://www.govtalk.gov.uk/schemasstandards/egif.asp>

***e-Government Metadata Standard*** - <http://www.govtalk.gov.uk/schemasstandards/metadata.asp>

***UK Government Data Standards Catalogue*** -  
<http://www.govtalk.gov.uk/gdsc/html/frames/default.htm>

## STRUCTURE OF THE REQUIREMENTS

2.11 This document is divided up into two main sections:

- **Functional Requirements:** Effectively these are a series of statements about what the system must be able to do. In this document, these requirements have been divided up into the following categories:
  - *Logging applicants*
  - *Logging requests*
  - *Logging appeals*
  - *Audit trail*
  - *Contact history*
  - *Workflow/process support*
  - *Fees*
  - *Enquiries*
  - *Correspondence*
  - *Reporting (Central Monitoring)*
  - *Reporting (Internal)*
  - *Appeals Handling*
  - *Interfaces*
  - *Online access*
  - *Administration*
- **Non-Functional Requirements:** These define system properties and constraints; which can be at least as critical as functional requirements. Non-functional requirements cover the way in which a system should behave (e.g. performance, reliability), compliance with organisation requirements (e.g. process standards, implementation requirements) and compliance with external requirements (e.g. legislative requirements, Office of the e-Envoy's standards). As this document is intended to be generic, the requirements in this section tend to be concentrated on external requirements, although there are a number that could be categorised as "good practice".

## PRIORITY OF REQUIREMENTS

2.12 Within in this document, all requirements are categorised under three priority levels:

- **ESSENTIAL (E):** This means that the requirement is crucial for all public authorities, if they are to adequately deliver commitments made on them by FoI and/or EIR.
- **HIGHLY DESIRABLE (HD):** This means that the requirement may prove extremely useful in assisting public authorities in delivering their commitments i.e. reducing the amount effort required by the organisation's staff by increasing the level of automation.
- **DESIRABLE (D):** This means the requirement could prove useful in processing FoI and/or EIR requests, but it is far more likely to only be of use to a subset of public authorities.

- 2.13 The priorities assigned in this document have been determined for a generic public authority and may need to be tailored for specific organisational needs e.g. a requirement that is categorised as high desirable here, is essential in a particular context.
- 2.14 Recognising the different environments that public authorities operate in, this document does not attempt to impose a specific single system that should be capable of delivering these requirements, as they could be achieved satisfactorily using a number of IT systems and manual processes working in conjunction with one another.

## ABBREVIATIONS

<i>Abbreviation</i>	<i>Description</i>
DPA	Data Protection Act 1998.
EIR	Environmental Information Regulations under the Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environment Matters signed at Aarhus on 25 <sup>th</sup> June 1998.
FoI	Freedom of Information Act 2000.
RFI	Request for Information – collective term that relates to any requests made under Freedom of Information or Environmental Information Regulations.

## 3 A Request for Information

- 3.1 One of the key elements in the process of managing requests for information will be to determine early on in the process whether requests should be entered on to the relevant system for managing requests. The definition of a request for information under the Freedom of Information Act and the Environmental Information Regulations is so broad that potentially most of what a public authority does could come under these access regimes. This section sets out some of the factors that public authorities should take into consideration when considering what their criteria for putting requests on to their monitoring system should be.
- 3.2 The key factor will be to enter information onto a system requests when the Freedom of Information Act or Environmental Information Regulations are consciously engaged. In other words, when thought is given to complying with the Act, such as through searching for information, releasing actual documents, charging fees or not providing the information requested.
- 3.3 What may be excluded for a system managing RFIs:
- ***RFIs where the information is already reasonably accessible to the applicant by other means:*** It will be important to ensure that releasing information does not become difficult, time consuming or resource intensive. New requirements to enter data into a management system to deal with requests where information is already given out routinely or that is given out without a second thought could slow down or even act as a disincentive to openness. The types of information this could include are requests for published reports, information leaflets or information in the publication scheme. However, there may be appeals made that information in publication schemes isn't available or that a request has not been answered. It may be that public authorities already have systems for logging where information is routinely given out, for example to demonstrate that published leaflet and reports have been sent in response to requests.
  - ***Information that is released as part of a public authority's normal business process:*** Many public authorities will be providing information as part of their day to day business processes, for example job application forms, information on the way they work or information relating to case work. It is not intended that systems for managing requests replace existing business processes that are functioning adequately. It will be for public authorities to decide what their normal business process is.
  - ***Correspondence that is not a request for information.***
  - ***Requests that do not include a name and address for correspondence (or an email address).***
  - ***Requests that are not made in writing (in writing includes emails and web-based forms),*** although if the request is for environmental information, requests may be made in any form or context, including oral requests.

3.4 What may be included for a system managing RFIs:

- **Requests which result in information being withheld under an exemption or exception from the right of access** (either the FoI or the EIR).
- **Requests which are not processed because the public authority estimates the cost of complying would exceed the appropriate limit** (section 12 of the FoI Act).
- **Requests which are not processed because the public authority considers the request to be vexatious or repeated.**
- **Requests where a search is made for information sought and it is found that none is held.**
- **Requests for information that related to information which is contained in a transferred public record** and the procedures in section 15 of the FoI Act are followed.
- **Where advice or assistance is offered to the applicant.**
- **Where the public authority requires further information from the applicant in order to identify and locate the information requested.**

# 4 Functional Requirements

## FUNCTIONAL OVERVIEW

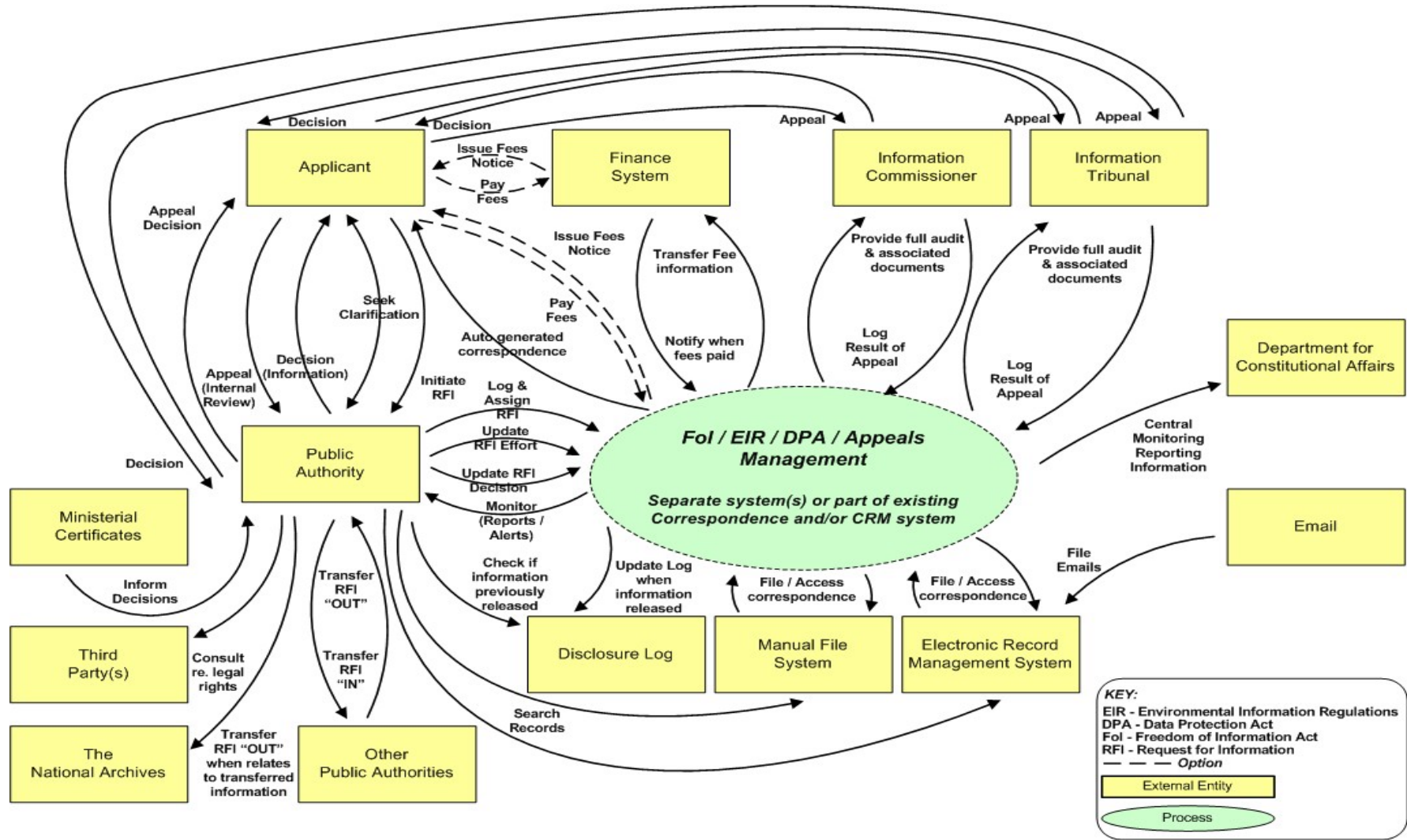


Figure 2: FoI / EIR / DPA Management System - Context

- 4.1 The purpose of the above diagram is to provide the reader with a pictorial view of the context in which a system(s) to manage RFIs operates, indicating the major external entities (people, organisations and systems) that it must operate with.
- 4.2 The diagram illustrates the main functional categories associated with the system, including:
- **Logging requests & appeals;** requirements associated with the capture of information about applicants, RFIs and appeals. This also includes the effective handling of the RFI including searching for requests by the same applicant, categorising the request against subject lists / taxonomy; searching the public authorities own disclosure log to determine if the information has already been released; and searching for similar requests.
  - **Workflow / Process Support;** requirements to assist the public authority in following its own processes for handling RFIs including assignment of requests, notification alerts, tracking and approval. This also includes the ability to cater for RFIs that have been sent to the public authority but they do not hold the required information; including the ability to accept RFI transfers from and create RFI transfers to other public authorities and the National Archives.
  - **Fees;** requirements associated with the calculation and recording of fees associated with RFIs.
  - **Enquiries;** requirements that enable the public authority to not only locate RFIs & appeals that are held in the system but to also monitor performance using a number of different views.
  - **Correspondence;** requirements to automatically generate correspondence with the applicant at key stages in the handling process.
  - **Appeals;** requirements to assist the public authority in managing each stage of the appeal process including internal review, appeals to the Information Commissioner and appeals to the Information Tribunal.
  - **Central Monitoring;** requirements for those central government departments covered by the central monitoring regime as specified by the Department for Constitutional Affairs.
  - **Reporting;** requirements associated with assisting the public authority in monitoring its own performance using predefined reports, ad-hoc reports and the ability to export information.
  - **Interfaces;** requirements that need to be considered by public authorities in respect of possible interfaces with existing systems.
  - **Online Access;** requirements to enable applicants to make RFIs directly to the public authority, track the progress of their request, pay fees and view released information online.
  - **Administration;** requirements to enable authorised users to maintain access to the system, update business rules, maintain correspondence templates. This category also includes requirements associated with archiving of data.
- 4.3 It must be reiterated that this specification is not prescriptive about a particular single system being used to deliver the functionality contained within this section, as the most appropriate solution will be entirely dependant upon the situation of each public authority.

## DETAILED REQUIREMENTS

### Logging Applicants

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-LA-01	The user shall be provided with a search facility to determine if the applicant already exists in the system.  If the applicant already exists the user may need to update his or her details.	HD
F-LA-02	The system shall allow details of any new applicant making an RFI to be captured.  <i>(See Appendix A for recommendations on information that should be recorded)</i>	E

### Logging Requests

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-LR-01	The system shall allow the following types of requests to be logged: <ul style="list-style-type: none"> <li>▪ Fol</li> <li>▪ EIR</li> </ul> However, it shall not be required to distinguish between Fol and EIR requests unless an exemption is being applied, time limit being extended or fee being charged.  <i>(See Appendix B for recommendations on information that should be recorded)</i>	E
F-LR-02	The system shall allow the following types of requests to be logged: <ul style="list-style-type: none"> <li>▪ DPA</li> </ul> Public authorities may choose to process requests under the Data Protection Act using a separate system/process, to address any concerns about access to personal data.  <i>(See Appendix B for recommendations on information that should be recorded)</i>	D
F-LR-03	The Unique Identifier for an RFI should be automatically generated  <i>(This cannot be changed by any user)</i>	E
F-LR-04	The system shall provide the user with assistance in determining which regime the RFI falls under (i.e. Fol, EIR, DPA).  <i>This may be achieved via help text and/or user training.</i>	D
F-LR-05	The Target Due Date shall automatically be calculated as follows: <ul style="list-style-type: none"> <li>▪ Fol: Date Received plus 20 Working Days *</li> <li>▪ EIR: Date Received plus 20 Working Days * **</li> <li>▪ DPA: Date Received plus 39 Calendar Days *</li> </ul> * To comply with the 20 days from receipt deadline specified in the Fol and EIR or the 40 days from receipt deadline specified in the DPA  ** The deadline can be extended for complex EIR requests (refer to requirement L-PR-17)	E
F-LR-06	The system shall be able to derive the majority of the applicant's Address by using the Post Code <i>(for UK-based applicants only)</i>	D
F-LR-07	The user shall be provided with an automatic search facility to locate any RFIs made by the same applicant	HD



<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-LR-08	The user shall be able to categorise the RFI ( <i>RFI Subjects</i> ), by making multiple selections from a predefined list of functions and subjects (and identifying the relevant section / action officers who the RFI should be allocated to)	HD
F-LR-09	The user shall be able to search the public authority's own disclosure log to check for information released in response to previous RFIs, which shall be categorised using a predefined list of subjects/taxonomy i.e. to check if the information is already in the public domain	HD
F-LR-10	The user shall be able to search the public authority's own Publication Scheme disclosure log to check if the information is already in the public domain	HD
F-LR-11	The user shall be able to search for any other RFIs (both open ones and completed ones) that relate to similar subjects as the one they are logging e.g. discover requests that the public authority has already responded to where the previous research and decision making can be made use of).  It shall be possible for the user to formally "link" these related RFIs to the one they are creating/logging.	HD
F-LR-12	The user shall be able to search a log of information such as that identifying information covered by exemption or Ministerial Certificate. It shall be categorised using a predefined list of subjects/taxonomy and to discover cases where the authority has already dealt with such a case and previous research and decision making can be made use of.	D
F-LR-13	It shall be possible for a user to "part-create" an RFI and then able to return to it later to complete entering details.  Only a full complete RFI can be allocated / assigned to an action officer / researcher.	D
F-LR-14	The system shall support the creation of "supplementary RFIs" that are produced as a result of the information released in a previous RFI.  "supplementary RFIs" should be handled through workflow / the review process independently, but it should possible for a user to build up a "communication thread" with the applicant by relating RFIs where appropriate.	D

### Logging Appeals

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-LP-01	The system shall allow the following types of appeal to be logged: <ul style="list-style-type: none"> <li>▪ Internal Reviews</li> <li>▪ Information Commissioner</li> <li>▪ Information Tribunal</li> </ul> <p><i>Public authorities may choose to process appeals using a separate system/process i.e. to restrict access to a limited set of users (if this isn't supported by the FoI/EIR Management System).</i></p> <p><i>(See Appendix B for recommendations on information that should be recorded)</i></p>	E
F-LP-02	The Unique Identifier for an appeal should be automatically generated	E
F-LP-03	The system shall allow the user to record whether an appeal to the Information Tribunal was lodged by the applicant or by the public authority.	HD
F-LP-04	The system shall allow the user to record whether an appeal from the decision of the Information Tribunal was lodged by the applicant or by the public authority.	HD

<b>ID</b>	<b>Description</b>	<b>Priority</b>								
F-LP-05	<p>The user shall be able to relate an appeal to an existing RFI <u>or</u> to an appeal as follows:</p> <table border="0"> <tr> <td><b><u>Original Decision</u></b></td> <td><b><u>Appeal Type</u></b></td> </tr> <tr> <td>RFI</td> <td>Internal Review</td> </tr> <tr> <td>Internal Review</td> <td>Information Commissioner</td> </tr> <tr> <td>Information Commissioner</td> <td>Information Tribunal</td> </tr> </table> <p>The system shall only allow one of each type of appeal to be created for an RFI.</p> <p>Authorised users shall be able to allow an Information Tribunal appeal to be related to an internal review.</p> <p>If applicable, it shall be possible to copy across information onto the appeal from the relevant RFI (to minimise re-keying).</p>	<b><u>Original Decision</u></b>	<b><u>Appeal Type</u></b>	RFI	Internal Review	Internal Review	Information Commissioner	Information Commissioner	Information Tribunal	E
<b><u>Original Decision</u></b>	<b><u>Appeal Type</u></b>									
RFI	Internal Review									
Internal Review	Information Commissioner									
Information Commissioner	Information Tribunal									
F-LP-06	<p>The system shall enforce the order in which the appeals process can take place for an RFI (i.e. Internal Review → Information Commissioner → Information Tribunal).</p> <p>Authorised users shall be able to override this sequence to allow internal review to be escalated straight to Information Tribunal, for example where Section 24 certificates are being applied.</p> <p>It will not be possible to create the next stage until the previous stage has been closed.</p>	E								
F-LP-07	<p>It shall be obvious to a user when viewing an RFI that an appeal (for all 3 types) is in progress / has been completed.</p>	E								
F-LP-08	<p>It shall be possible for a user to “part-create” an appeal and then able to return to it later to complete entering details.</p> <p>Only a fully complete RFI can be allocated / assigned to an action officer / researcher.</p>	D								

### Audit Trail

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-AU-01	<p>The system shall automatically create an audit trail of all changes made to an RFI or appeal through the review process</p> <p>The audit trail should include details of:</p> <ul style="list-style-type: none"> <li>▪ What information was changed</li> <li>▪ Who changed the RFI / appeal</li> <li>▪ When the change occurred (Date &amp; Time)</li> </ul> <p><i>This could be achieved by keeping previous “versions” of the RFI / appeal each time it is changed.</i></p>	E
F-AU-02	<p>The system shall provide easy navigation for users to access the audit trail for the RFI or appeal they are viewing.</p> <p>It shall not be possible to change details held within the audit trail.</p>	E

## Contact History

ID	Description	Priority
F-CH-01	<p>The system shall capture contact history information for all RFIs &amp; appeals – these details cannot be changed retrospectively.</p> <p><i>This information could alternatively be recorded in an external system, such as correspondence management system or an electronic records management system although this would require some form of interface (either electronically linked or via a manual reference)</i></p> <p><i>(See Appendix D for details of information that needs to be recorded)</i></p>	E

## Workflow / Process Support

- 4.4 One of the key aspects of a system to manage RFIs is its ability to support public authorities through the various stages of the process in order to respond to an applicant within the prescribed time limits.
- 4.5 The following diagram provides a simplified view of the stages in the process for handling an RFI. It should not be seen as authoritative both in terms of all the decision steps required and any specifics that will relate to a particular public authority (e.g. the way in which RFIs are allocated to action officers / researchers).
- 4.6 However, the diagram does highlight key aspects such as the points in the process at which the 20 working day timer starts, is suspended, resumes and stops. This section covers those functions that are either essential or should at least be considered to aid this process.

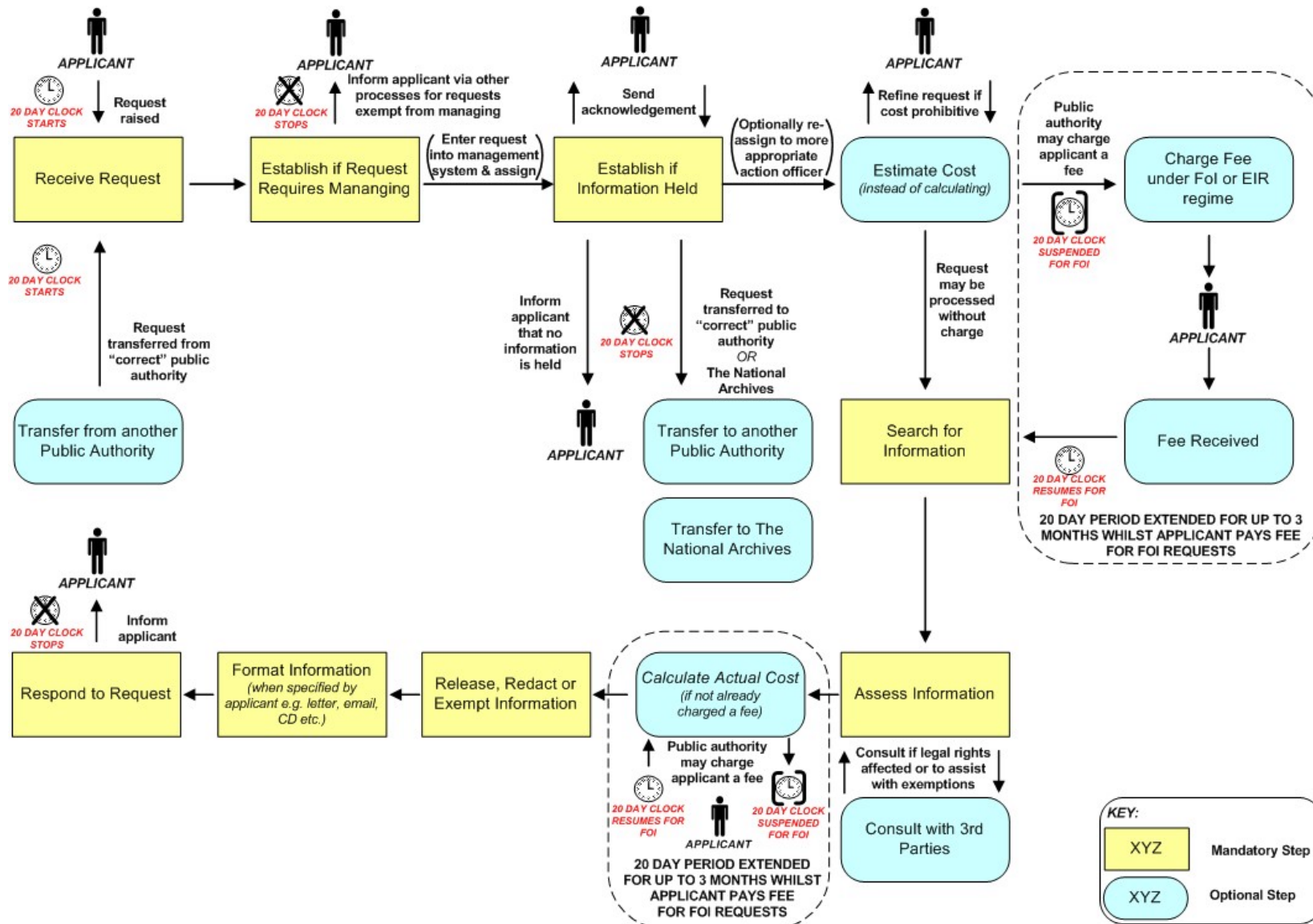


Figure 3: FoI/EIR Requests for Information - Simplified Process

ID	Description	Priority
F-PR-01	<p>The system shall support the transfer of an RFI to another public authority, where the information covered by the RFI is not held. This shall include:</p> <ul style="list-style-type: none"> <li>▪ Approval by the applicant</li> <li>▪ Provision of information to the public authority (<i>only if approved by applicant</i>)</li> <li>▪ Closure of the RFI</li> </ul> <p><i>(This could either be achieved by production of a hardcopy report or electronic file in a standardised format, to provide the necessary information to the correct public authority). This shall be recorded in the audit trail.</i></p> <p><i>The public authority is not obliged to transfer an RFI, although they must inform the applicant that is the responsibility of another department.</i></p>	HD
F-PR-02	<p>The system shall support the transfer of an RFI to The National Archives where the information covered by the RFI has been transferred. This shall include:</p> <ul style="list-style-type: none"> <li>▪ Provision of information to The National Archives</li> <li>▪ Closure of the RFI</li> </ul> <p><i>(This could either be achieved by production of a hardcopy report or electronic file in a standardised format, to provide the necessary information to the correct public authority).</i></p> <p><i>This shall be recorded in the audit trail</i></p>	D
F-PR-03	<p>The system shall allow authorised staff to re-allocate RFIs to an action officer / researcher</p> <p><i>It is recommended that a supporting process is put in place to prevent an RFI being repeatedly re-allocated i.e. a courtesy call to the proposed individual prior to re-allocation. This shall be recorded in the audit trail</i></p>	E
F-PR-04	<p>The system shall allow an action officer / researcher to reject an RFI. The rejected RFI should nominally be allocated to either a system administrator or central team for it to be formally re-allocated.</p> <p><i>This shall be recorded in the audit trail</i></p>	HD
F-PR-05	<p>It will be possible to create a “hybrid-request” from a single RFI i.e. one that is made up of elements covered by the FoI, EIR and/or DPA</p> <p>Each element of the “hybrid-request” can have a separate workflow to enable different action officers/researchers to process them independently.</p> <p>However it shall be possible to enquire on the different elements as a single RFI i.e. if the applicant contacted the public authority to determine the state of progress.</p> <p>It shall not be required to distinguish between FoI and EIR requests unless an exemption is being applied, time limit being extended or fee being charged.</p>	E
F-PR-06	<p>The system shall automatically set the acknowledgement sent date when an acknowledgement correspondence has been sent to the applicant.</p> <p><i>This shall be recorded in the audit trail</i></p>	D
F-PR-07	<p>The relevant action officer / researcher should be notified when an RFI has been allocated to them.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there are no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email or through a workflow support of the process</i></p>	HD

ID	Description	Priority
F-PR-08	<p>The system shall be able to log when the authority has notified the applicant that it reasonably requires further information in order to identify and locate the information requested.</p> <p>The clock shall stop until the applicant has provided this information (<i>See also F-PR-17</i>)</p>	HD
F-PR-09	<p>The system shall automatically set the date when advice and assistance on the RFI has been sought from the applicant.</p> <p><i>This shall be recorded in the audit trail</i></p>	D
F-PR-10	<p>The system shall allow the action officer / researcher to record an estimate of the effort (i.e. works associated) in creating a response to the RFI.</p> <p><i>Estimated Effort may be used to automatically calculate fees – see below.</i></p>	HD
F-PR-11	<p>The relevant action officer / researcher should be notified when the applicant has paid outstanding fees i.e. they can proceed with processing the RFI</p> <p><i>Public authorities may wish to notify more than one individual to ensure there a no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email, workflow support of the process or manual processes.</i></p>	D
F-PR-12	<p>The relevant action officer / researcher should be notified when the applicant has failed to respond to a request to supply further information for the public authority to identify and locate the information requested, over an agreed time period (the exact duration would be determined by business rules).</p> <p>The action officer / researcher can then chose to either contact the applicant again or close the RFI.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there a no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email, workflow support of the process or manual processes.</i></p>	D
F-PR-13	<p>The relevant action officer / researcher should be notified when the applicant has failed to respond to a fees notice for over an agreed time period (The FoI Act stipulates 3 months and this could be applied as a business rule).</p> <p>The action officer / researcher can then chose to either contact the applicant again or close the RFI.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there a no bottlenecks due to holidays / sickness. This could be achieved either via email, workflow support of the process or manual processes.</i></p>	D
F-PR-14	<p>The system shall support an escalation path of notification alerts as an RFI nears / reaches / exceeds target dates – this might include:</p> <ul style="list-style-type: none"> <li>(1) Action officer / researcher</li> <li>(2) Department / line manager of action officer / researcher</li> <li>(3) Central correspondence/coordinating unit</li> </ul> <p><i>This could be achieved either via email, workflow support of the process or manual processes</i></p>	HD

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-PR-15	The system shall provide a calendar-based timer (based on working days for FoI / EIR RFIs and calendar days for DPA RFIs)	HD
F-PR-16	<p>The system shall start, suspend, restart and stop the calendar-based timer on business rules that include:</p> <ul style="list-style-type: none"> <li>▪ Suspend time when fees notice sent to the applicant (FoI only)</li> <li>▪ Restart timer when outstanding fees are paid by applicant (FoI only)</li> </ul> <p>Where the calendar-based timer is restarted, the target due date should be automatically recalculated. (See also F-PR-08)</p> <p><i>This shall be recorded in the audit trail</i></p>	E
F-PR-17	<p>The system shall support an extension of the target due date for FoI requests to cater for complex consideration of the public interest in respect of the disclosure of the requested information.</p> <p>This will result in correspondence being produced to inform the applicant of the revised estimated target date.</p> <p><i>This shall be recorded in the audit trail</i></p>	HD
F-PR-18	<p>If the EIR is deemed to be sufficiently complex, the target due date shall be extended to 40 Working Days</p> <p><i>This shall be recorded in the audit trail</i></p>	HD
F-PR-19	<p>The system shall either automatically produce or prompt users to produce correspondence with applicants where the deadline for an RFI has been exceeded. The triggers for these will be controlled via business rules.</p> <p><i>The public authority may consider that the production of these “ongoing communications” with the applicant may be iterative.</i></p>	HD
F-PR-20	<p>The system shall validate the status of an RFI i.e. using business rules to enforce the agreed sequence of events</p>	E
F-PR-21	<p>The system shall validate the approval to proceed to the next stage in the process, based on the user’s permissions (which are derived from the user roles / groups they belong to).</p> <p><i>The system shall use the audit trail to record the progress of the RFI through the process.</i></p>	E
F-PR-22	<p>The system shall provide a list of exemptions that could apply to an RFI (i.e. for FoI or EIR), to assist the action officer / researcher.</p> <p><i>The system shall also enable users to link to the decision note correspondence issued to the applicant which will include details of how the public interest test was applied (where relevant).</i></p>	HD
F-PR-23	<p>The system shall allow users to record any exemption(s) that apply to an RFI</p> <p><i>Public authorities may wish to also record why particular exemption(s) apply to the RFI, for audit purposes.</i></p>	E
F-PR-24	<p>The system shall also allow users to record against each section that is removed from the document:</p> <ul style="list-style-type: none"> <li>▪ Which exemption applies and</li> <li>▪ Why the exemption applies.</li> </ul> <p><i>Public authorities may wish to use 3<sup>rd</sup> party systems to support redaction or alternatively use manual processes.</i></p>	HD

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-PR-25	Where a Ministerial Certificate has been issued under section 23(2) or section 24(3) in respect of a specific RFI, the system shall allow for this information to be recorded.	D
F-PR-26	Where a Ministerial Certificate has been issued under section 23(2) or section 24(3) in respect of a specific RFI and this is being judicially reviewed, the system shall allow the outcome of the judicial review to be recorded.	D
F-PR-27	The system shall allow the level of final signoff to be established for an RFI, and then enforce that the suitably authorised user has given final clearance.  <i>Level of final signoff will be in line with the public authority's own policy / guidance on clearance for release of information.</i>	D
F-PR-28	When an RFI is being Closed, the system shall: <ul style="list-style-type: none"> <li>▪ Set the actual completion date</li> <li>▪ Prompt the user to record <ul style="list-style-type: none"> <li>• The actual (research/exemptions) effort expended</li> <li>• If the actual completion date exceeds the target completion date, the reason for not achieving the target</li> <li>• The outcome</li> <li>• Any exemptions that applied</li> <li>• The reason why each exemption was applied</li> <li>• Whether information was neither confirmed / nor denied</li> <li>• Whether a summary was made available</li> <li>• Whether the information was released or not</li> </ul> </li> </ul>	D
F-PR-29	When an RFI is Closed, the system shall ensure that no further changes can be made to it	E
F-PR-30	The system shall support maintenance of the public authority's own disclosure log to record all items of information that have been released as a result of an FoI/EIR RFI.  The disclosure log shall be categorised using a predefined list of subjects/taxonomy.  <i>This may also be used to update the public authority's Publication Scheme.</i>	D



## Fees

Whilst some public authorities have already formulated their policy in respect of fees for requests made under FoI & EIR, it should be noted that finalised regulations in this area are still being developed.

ID	Description	Priority
F-FE-01	<p>The system shall enable users to capture the prescribed costs associated with an FoI RFI.</p> <p><i>Public authorities may wish to automatically calculate prescribed costs based on pre-defined business rules. Under the current draft regulations the calculation would be derived as follows:</i></p> <p><b><i>((Estimated Effort – Free Research Effort) x Hourly Staff Rate) x % of Marginal Costs</i></b></p> <p><i>The calculation may be further enhanced to factor in a refined list of applicant categories e.g. so low-income groups are not charged at all or pay a reduced amount.</i></p> <p><i>If fees are not to be automatically calculated, the public authority should consider recording how the fee was arrived at, in case the applicant appeals e.g. by possibly adding another field against the request.</i></p> <p><i>It is understood that some public authorities are considering not charging fees at all.</i></p>	E
F-FE-02	<p>The system shall enable users to capture the non-commercial fees associated with an EIR RFI.</p> <p><i>Public authorities may also wish to automatically calculate non-commercial Fees based on pre-defined business rules. It is assumed that EIR commercial fees are <u>not</u> included in the scope of the system.</i></p>	E
F-FE-03	<p>The system shall enable users to capture disbursement costs associated with an FoI RFI.</p> <p><i>Public authorities may also wish to consider whether they want to:</i></p> <ul style="list-style-type: none"> <li>• <i>Hold separate cost categories (e.g. postage / photocopying / CDs etc.)</i></li> <li>• <i>Automatically calculate disbursement values <u>or</u></i></li> <li>• <i>Charge for disbursements at all</i></li> </ul> <p><i>If fees are not to be automatically calculated, the public authority should consider recording how the fee was arrived at, in case the applicant appeals e.g. by possibly adding another field against the request.</i></p>	E
F-FE-04	<p>The system shall support fees associated with DPA Subject Access requests</p>	D
F-FE-05	<p>The system shall enable users to decide on a case by case basis whether they will charge the applicant.</p> <p><i>This may represent the user overriding an automatically calculated fee rate with a lower value or no value.</i></p>	D
F-FE-06	<p>The system shall notify the user if the fees for an FoI RFI exceed a pre-defined fee limit.</p> <p>The user can override the warning, if the applicant is prepared to pay the full amount over the fee limit (currently £600) and/or the public authority is in agreement to process the request.</p>	HD
F-FE-07	<p>The system shall automatically set the fee notice sent date when a fee notice has been sent to the applicant.</p>	D

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-FE-08	The system shall automatically set the fee paid date when the amount is received from the applicant.	D
F-FE-09	The system shall support an auditable process for the handling of fees paid by applicants.  <i>This requirement may be addressed by the public authorities finance system – through a manual / automatic interface.</i>	HD

## Enquiries

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-EN-01	<p>The system shall enable users to search for applicants using multiple search criteria including:</p> <ul style="list-style-type: none"> <li>▪ applicant surname</li> <li>▪ applicant first name</li> <li>▪ applicant post code</li> <li>▪ organisation name</li> </ul> <p>The user will be able to select an applicant from the search results and view their details, and all their RFIs (and their associated contact history). Only authorised users will be able to make changes to the RFI.</p> <p>If the search finds more than one applicant that matches the criteria, then the system will enable the user to select from the list of applicants.</p> <p><i>Some public authorities may also wish to restrict what RFIs some system users can view (i.e. only those handled by their own organisational unit / department)</i></p>	HD
F-EN-02	<p>The system shall enable users to search for RFIs using multiple search criteria including:</p> <ul style="list-style-type: none"> <li>▪ unique identifier</li> <li>▪ date received</li> <li>▪ keyword function / subject / taxonomy</li> <li>▪ organisational unit / department responsible for the function of subject</li> <li>▪ action officer / researcher</li> <li>▪ type (e.g. FoI, EIR, appeal)</li> <li>▪ status (e.g. fees received, formatting etc.)</li> <li>▪ outcome</li> <li>▪ proximity to deadlines</li> <li>▪ related RFIs (e.g. supplementary requests from the same applicant / requests from different applicants on the same subject / elements of a hybrid request).</li> <li>▪ exemption / exception</li> </ul> <p>The user will be able to select an RFI from the search results and view its details, contact history and associated applicant. It shall also be possible for the user to view related RFIs. Only authorised users will be able to make changes to the RFI.</p> <p><i>Some public authorities may also wish to restrict what RFIs some system users can view (i.e. only those handled by their own organisational unit / department)</i></p>	HD

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-EN-03	<p>Where a user has selected to view RFIs by organisational unit / department, the system shall enable the user to “drill down” the organisation’s hierarchy until it reaches action officer / researcher.</p> <p>This is to enable areas experiencing difficulty to be identified.</p>	D
F-EN-04	<p>The system shall enable users to sort the order of search results for RFIs based on:</p> <ul style="list-style-type: none"><li>▪ date received</li><li>▪ keyword function / subject / taxonomy</li><li>▪ organisational unit / department responsible for the function or subject</li><li>▪ action officer / researcher</li><li>▪ type (e.g. Fol, EIR, appeal)</li><li>▪ status (e.g. fees received, format requester would prefer to receive information in etc.)</li><li>▪ outcome</li><li>▪ proximity to deadlines</li></ul>	D
F-EN-05	<p>The system shall provide action officers / researchers with a view of the RFIs which are open and that have been allocated to them.</p> <p>RFIs should be ordered in decreasing proximity to deadlines.</p> <p>This view will act as a to do list, enabling the user to view &amp; update the details for each RFI along with its contact history and associated applicant details.</p>	HD

## Correspondence

ID	Description	Priority
F-CR-01	<p>The system shall automatically allocate a unique reference for all correspondence generated for the RFI</p> <p><i>The unique reference for the correspondence could be derived from unique identifier for the RFI, followed by a sequential number.</i></p>	HD
F-CR-02	<p>The system shall automatically populate the “header” information for all correspondence including:</p> <ul style="list-style-type: none"> <li>▪ Applicant name &amp; address</li> <li>▪ Correspondence unique reference</li> <li>▪ Date</li> </ul>	HD
F-CR-03	<p>The system shall automatically produce “simple correspondence” to communicate with the applicant – this includes:</p> <ul style="list-style-type: none"> <li>▪ Acknowledgements **</li> <li>▪ Fees Notices *</li> <li>▪ Request to Transfer RFI to another public authority</li> <li>▪ Request has been transferred to The National Archives</li> <li>▪ Extended Deadline (Public Interest consideration for FoI / Complex EIR)</li> <li>▪ Don’t Hold Requested Information * **</li> <li>▪ Neither Confirm Nor Deny Holding Information *</li> <li>▪ RFI Refused – Exceeds Fee Limit *</li> </ul> <p>Automated correspondence may be via production of a letter (interface with word processing software) or via email (interface with email software) – this will be determined by how the applicant initiated the RFI.</p> <p>* Correspondence templates should include a statement informing them of their right to appeal and how to appeal.</p> <p>** Correspondence should include any advice to the applicant on any other public authorities that may hold information referred to in the RFI.</p> <p><i>The degree of automation of that can be applied to correspondence production will depend upon the solution adopted by the public authority and the amount of business benefit it delivers i.e. in reducing administration overheads where there are large volumes of RFIs to process.</i></p>	HD
F-CR-04	<p>The system shall automatically produce “complex correspondence” to communicate with the applicant – this includes:</p> <ul style="list-style-type: none"> <li>▪ All correspondence for “hybrid requests”</li> <li>▪ Notify applicant that public authority reasonably requires further information to identify and locate the information requested</li> <li>▪ Information Not Found (initially public authority believed it did hold) **</li> <li>▪ Request has exceeded deadline</li> <li>▪ RFIs where Exemptions apply *</li> <li>▪ RFI Refused – Vexatious Request *</li> <li>▪ RFI Refused – Repeated Request *</li> <li>▪ Information provided in relation to an RFI * **</li> </ul>	D

<b>ID</b>	<b>Description</b>	<b>Priority</b>
	<p>* All correspondence templates should include a statement informing them of their right to appeal and how they should do so.</p> <p>** Correspondence should include any advice to the applicant that another public authority may hold information referred to in the RFI.</p>	
F-CR-05	<p>The system shall take account of the following, when producing and formatting correspondence:</p> <ul style="list-style-type: none"> <li>▪ Applicant's accessibility requirements (<i>see Appendix A</i>)</li> <li>▪ RFI's required response format (<i>see Appendix B</i>)</li> </ul>	D

### Reporting (Central Monitoring)

Central government has reported to Parliament on its performance in responding to requests for information made under the Code of Practice on Access to Government Information since its introduction. This will continue under the Freedom of Information Act, and the performance monitoring regime that government departments have agreed can be found in Appendix E.

Appendix F contains a list of organisations that are included in the coverage of monitoring of access to information in central government. It is recommended that even public authorities that are not included in this list should still assess the suitability of the central monitoring requirements in enabling them to measure their own RFI handling performance.

### Reporting (Internal)

Whilst the requirements in this section are complementary to the central monitoring requirements referred to above, they should not be seen as exhaustive as public authorities are likely to have their own specific measures for reporting performance in respect of RFI handling.

All reports can be scheduled to be produced on a regular or requested on an ad-hoc basis (the latter requiring the user to enter a date range to report on) unless otherwise stated.

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-IR-01	The system shall provide periodic reports on the status of <b>RFIs / appeals</b> based on the <b>organisational unit / department</b> responsible – the report should include both open and completed RFIs.	HD
F-IR-02	The system shall provide periodic reports on the status of <b>RFIs / appeals</b> based on the <b>keyword subject / taxonomy</b> – the report should include both open and completed RFIs.	HD
F-IR-03	The system shall provide periodic reports on <b>RFIs / appeals</b> based on their <b>status</b> .	HD
F-IR-04	The system shall provide periodic reports on the status of <b>RFIs / appeals</b> based on the <b>proximity to deadlines</b> – the report should only include open RFIs.	HD
F-IR-05	The system shall provide periodic reports on the status of <b>RFIs / appeals</b> that compares <b>estimated effort vs. actual effort</b> – the report should only include completed RFIs.	HD
F-IR-06	The system shall provide periodic reports on the status of <b>RFIs / appeals</b> based on the <b>format of RFI</b> (e.g. Letter, Email, Phone etc.) – the report should include both open and completed RFIs.	D
F-IR-07	The system shall provide periodic reports on the status of <b>RFIs / appeals</b> based on the <b>applicant country</b> (i.e. to assess how many appeals are being received from overseas, as well as the UK.) – the report should include both open and completed RFIs.	D

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-IR-08	The system shall provide periodic reports on the amount of <b>outstanding fees</b> – the report should only include open RFIs. The report should include a total amount outstanding for all the transactions contained in the report.	HD
F-IR-09	The system shall provide periodic reports on the amount of <b>paid fees</b> received for a specific date or date range – the report should include both open and completed RFIs. The report should include a Total Amount Paid for all the transactions contained in the report.	HD
F-IR-10	The system shall provide periodic reports on <b>RFIs / appeals</b> based on the <b>outcome</b> (see Appendices B & C respectively) by <b>organisation unit / department</b> – the report should only include completed RFIs & appeals.	HD
F-IR-11	<p>The system shall produce an audit report of changes made to <b>RFIs / appeals</b>:</p> <p>The report should include the following:</p> <ul style="list-style-type: none"> <li>▪ Unique identifier</li> <li>▪ What information was changed</li> <li>▪ Who changed the RFI / appeal</li> <li>▪ When the change occurred (Date &amp; Time)</li> </ul> <p><i>This report is only produced on an ad-hoc basis when requested by a user.</i></p>	HD
F-IR-12	<p>The system shall produce an <b>RFI appeal report</b> that should provide the Information Commissioner and/or Information Tribunal with the information the public authority considers it should have available when assessing the appeal.</p> <p><i>This report is only produced on an ad-hoc basis when requested by a user.</i></p>	HD
F-IR-13	The system shall produce “ <b>temporally-based</b> ” reports that allow results to be summarised at a user-defined interval (e.g. by year / quarterly / monthly / weekly) – to assist in establishing trends.	D
F-IR-14	The system shall enable reports (both “standard” and “user-defined”) to be scheduled to run at user-defined intervals.	D
F-IR-15	<p>The system should provide authorised users with a facility to define, produce and save ad-hoc reports.</p> <p>It shall also be possible for users to:</p> <ul style="list-style-type: none"> <li>▪ save ad-hoc reports</li> <li>▪ copy ad-hoc reports (i.e. to base new reports on existing ones)</li> </ul>	E
F-IR-16	<p>The system shall provide the facility to export reports (standard or ad-hoc) into standard formats, that may include:</p> <ul style="list-style-type: none"> <li>▪ Microsoft Word</li> <li>▪ Microsoft Excel</li> <li>▪ Business Objects</li> <li>▪ XML</li> </ul> <p><i>A facility to export of RFI / appeal information may also be used to consolidate information when public authorities re-structure with the combination of organisational units from different sources.</i></p>	E

## Appeals Handling

It should be noted that when the term “appeal” is used in this document, it refers to internal reviews, complaints to the Information Commissioner and appeals to the Information Tribunal (made by any permitted party).

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-AP-01	<p>The system shall notify the central team with overall responsibility for FoI &amp; EIR, if a request for an appeal (Internal Review / Information Commissioner / Information Tribunal) has been logged against an RFI.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there are no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email, workflow support of the process or manual processes</i></p>	HD
F-AP-02	<p>The relevant action officer / researcher should be notified when an appeal has been allocated to them.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there are no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email or through a workflow support of the process</i></p>	HD
F-AP-03	<p>The system shall allow authorised staff to re-allocate appeals to an action officer.</p> <p><i>It is recommended that a supporting process is put in place to prevent an RFI being repeatedly re-allocated e.g. a courtesy call to the proposed individual prior to re-allocation. This shall be recorded in the audit trail.</i></p>	D
F-AP-04	<p>The system shall start and stop the calendar-based timer on business rules.</p> <p><i>This shall be recorded in the audit trail</i></p>	HD
F-AP-05	<p>The system shall support an escalation path of notification alerts as an appeal nears / reaches / exceeds target dates – this might include:</p> <ul style="list-style-type: none"> <li>(1) Action officer / researcher</li> <li>(2) Department / line manager of action officer / researcher</li> <li>(3) Central correspondence/coordinating unit</li> </ul> <p><i>This could be achieved either via email, workflow support of the process or manual processes</i></p>	HD
F-AP-06	<p>The system shall automatically set the acknowledgement sent date when an acknowledgement correspondence is sent to the applicant (for internal reviews)</p>	D
F-AP-07	<p>The system shall validate the status of an appeal i.e. using business rules to enforce the agreed sequence of events</p>	E
F-AP-08	<p>The system shall validate the approval to proceed to the next stage in the process, based on the user’s permissions (which are derived from the user roles / groups they belong to)</p> <p><i>The system shall use the audit trail to record the progress of the appeal through the process.</i></p>	E
F-AP-09	<p>The system shall enable users to record details of the outcome of internal reviews</p>	E
F-AP-10	<p>The system shall enable users to record when information has been supplied to the Information Commissioner or Information Tribunal</p>	E

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-AP-11	The system shall enable users to record details of the decision made by the Information Commissioner	E
F-AP-12	The system shall enable users to record details of the decision made by the Information Tribunal	E
F-AP-13	When a decision has been reached on an appeal, the system shall: <ul style="list-style-type: none"> <li>▪ Prompt the user to record               <ul style="list-style-type: none"> <li>• The outcome (dependent upon the type of appeal)</li> <li>• Details of any steps required to comply with the decision (<i>if any</i>)</li> <li>• Decision to be complied by date (<i>if applicable</i>)</li> </ul> </li> </ul>	HD
F-AP-14	The system shall notify the action officer/researcher as the date nears / exceeds the decision to be complied by date (frequency of alerts to be determined by business rules)	HD
F-AP-15	When an appeal is being Closed, the system shall: <ul style="list-style-type: none"> <li>▪ Set the actual completion date</li> <li>▪ Prompt the user to record               <ul style="list-style-type: none"> <li>• If the actual completion date exceeds the target completion date, the reason for not achieving the target</li> <li>• Whether the information was released or not (updating the original RFI)</li> </ul> </li> </ul>	D
F-AP-16	The system shall allow users to record whether a ministerial veto has been issued	HD
F-AP-16	The system shall allow users to record whether a ministerial veto has undergone judicial review	HD
F-AP-18	When an appeal is Closed, the system shall ensure that no further changes can be made to it.	E



## Interfaces

The applicability and complexity of interfaces will vary considerably between public authorities, as it will be dependent upon the scope of the system that is implemented to manage RFIs and any 3<sup>rd</sup> party systems that need to be interfaced with.

The following table illustrates the likely types of interface that may be required for each category of the functional requirements:

<b>Category</b>	<b>Possible Interfaces</b>
Recording Requests & Appeals	<ul style="list-style-type: none"> <li>▪ Correspondence System(s)</li> <li>▪ Customer Relationship Management</li> <li>▪ Email</li> <li>▪ Electronic Record Management</li> <li>▪ Manual File System(s)</li> <li>▪ Post Code databases</li> </ul>
Decision Support	<ul style="list-style-type: none"> <li>▪ Knowledge Bases</li> <li>▪ Disclosure Log</li> </ul>
Tracking / Contact Logs	<ul style="list-style-type: none"> <li>▪ Correspondence Systems</li> <li>▪ Customer Relationship Management</li> <li>▪ Email</li> </ul>
Fees	<ul style="list-style-type: none"> <li>▪ Finance System</li> </ul>
Correspondence Production	<ul style="list-style-type: none"> <li>▪ Correspondence System(s)</li> <li>▪ Word Processing</li> <li>▪ Email</li> <li>▪ Translation Facilities</li> </ul>
Enquiries	<ul style="list-style-type: none"> <li>▪ Correspondence System(s)</li> <li>▪ Customer Relationship Management</li> <li>▪ Email</li> <li>▪ Electronic Record Management</li> <li>▪ Manual File Systems</li> </ul>
Reporting	<ul style="list-style-type: none"> <li>▪ 3<sup>rd</sup> Party Reporting Tool</li> </ul>
Delivery (Intranet / Internet)	<ul style="list-style-type: none"> <li>▪ User Interface / Frequently Asked Questions / Publication Scheme</li> <li>▪ Content Management System</li> </ul>

ID	Description	Priority
F-IF-01	<p>The system shall facilitate the logging of RFIs that have been received via email, by providing an interface with the public authorities <b>email system</b>.</p> <p><i>This may be as simple as establishing a central mailbox that can be processed by a central correspondence team (or equivalent), although RFIs received in any inbox will still be valid RFIs.</i></p>	HD
F-IF-02	<p>The system shall interface with the public authority's <b>Intranet / Internet sites</b>.</p> <p><i>The Internet interface would be used to deliver the requirements outlined in the online access section of this document.</i></p> <p><i>The Intranet interface would provide the user with straightforward access to the public authorities resources including:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Knowledge Bases (i.e. information sources)</i></li> <li>▪ <i>Disclosure Log</i></li> <li>▪ <i>Publication Scheme</i></li> </ul>	HD
F-IF-03	<p>The system shall provide a two-way interface with the public authority's <b>finance system</b> to enable:</p> <ul style="list-style-type: none"> <li>▪ The system to transfer fees information across to the finance system, so that the latter can raise fees notices (and track payments) and</li> <li>▪ The finance system to inform the RFI system that payment of outstanding fees has been received from the applicant</li> </ul> <p><i>This may be achieved by direct links between the two systems or a process that requires some manual intervention</i></p>	D
F-IF-04	<p>The system shall provide the user with straightforward access from the RFI to any associated:</p> <ul style="list-style-type: none"> <li>▪ Correspondence (Letters / Faxes)</li> <li>▪ Emails</li> </ul> <p><i>This should either be achieved via links directly into an <b>electronic records management system</b> and/or <b>email system</b> and/or holding file number(s) to locate information held on <b>manual file system(s)</b></i></p>	HD
F-IF-05	<p>The system shall provide the user with straightforward access from the appeal to any associated:</p> <ul style="list-style-type: none"> <li>▪ Correspondence (Letters / Faxes)</li> <li>▪ Emails</li> </ul> <p><i>This should either be achieved via links directly into an <b>electronic records management system</b> and/or <b>email system</b> and/or holding file number(s) to locate information held on <b>manual file system(s)</b></i></p>	HD
F-IF-06	<p>The system shall provide the user with straightforward access from the contact log for an RFI/appeal to any associated:</p> <ul style="list-style-type: none"> <li>▪ Correspondence (Letters / Faxes)</li> <li>▪ Emails</li> </ul> <p><i>This should either be achieved via links directly into an <b>electronic records management system</b> and/or <b>email system</b> and/or holding File Number(s) to locate information held on <b>manual file system(s)</b></i></p>	HD

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-IF-07	<p>The system shall provide the user with straightforward access to the Contact Log for an RFI (if it is being managed by a 3<sup>rd</sup> party system)</p> <p><i>This should either be achieved via links directly into a <b>customer relationship management system</b> and/or <b>correspondence system</b> and/or holding file number(s) to locate information held on <b>manual file system(s)</b></i></p>	HD
F-IF-08	<p>The system shall provide the user with a straightforward interface to the public authority's <b>word processing</b> software and/or <b>email system</b> to enable automated generation of correspondence and/or <b>correspondence system</b> to log details of the communication.</p>	HD
F-IF-09	<p>The system shall provide an interface to <b>translation facilities</b> to cater for:</p> <ul style="list-style-type: none"> <li>• RFIs that are received in a language other than English</li> <li>• Correspondence that needs to be published in a language other than English</li> </ul> <p><i>See Non-Functional Requirements.</i></p>	D
F-IF-10	<p>The system shall integrate with commercially available <b>UK Post Code databases</b>, to enable automatic population of applicants' addresses.</p> <p><i>It should also be straightforward to load upgrades to the Post Code database.</i></p>	D
F-IF-11	<p>The system should enable commercially available <b>3<sup>rd</sup> party report writing tools</b> to run over the underlying database, to enable users to produce ad-hoc reports.</p>	HD

## Online Access

ID	Description	Priority
F-OL-01	The system shall allow an applicant to create an account online, in order to assist them with online access: <ul style="list-style-type: none"> <li>▪ Secure access</li> <li>▪ Record applicant details to repeat on all RFIs</li> <li>▪ View status of all RFIs they have raised</li> </ul>	D
F-OL-02	The system shall allow applicants to create RFIs online; these RFIs will be forwarded to a central point, for assigning them to the appropriate part of the organisation.  <i>This could be achieved via a web form on the public authority's organisation or via email.</i>	D
F-OL-03	The system shall allow the applicant to track their RFI online through the review process.  <i>This could be via a simplified view of the public authority's review process – as per Figure 2 (see above)</i>	D
F-OL-04	The system shall allow the applicant to receive notification (possibly via email) when key events occur. These could include: <ul style="list-style-type: none"> <li>▪ Formal acknowledgement of receipt of RFI</li> <li>▪ Applicant response to public authority notification that it reasonably requires further information to identify and locate the information requested</li> <li>▪ Applicant response to request for advice &amp; assistance</li> <li>▪ Fee notice</li> <li>▪ Decision on RFI</li> </ul>	D
F-OL-05	The system shall allow the applicant to make online payments in respect of any fee notice raised in respect of their RFI.	D
F-OL-06	The system shall allow the applicant to view any information online that has been released in respect of their RFI.  <i>To improve the overall online process, consideration should be given to developing an "online guide" that walks potential applicants through the following steps:</i> <ol style="list-style-type: none"> <li>1. <i>Check if information required is already available from the Publication Scheme, if not....</i></li> <li>2. <i>Check if information required is already available from the public authorities own disclosure log, if not....</i></li> <li>3. <i>Raise new RFI</i></li> </ol>	D

## Administration

ID	Description	Priority
F-AD-01	<p>The system shall provide user administration facilities to authorised users – including determining associated security permissions.</p> <p><i>Some public authorities may wish to consider using some method of devolved user administration to prevent bottlenecks / over-reliance on a central function.</i></p>	HD
F-AD-02	<p>The system shall enable authorised users to maintain fees business rules (Fol &amp; EIR) to support automated calculation:</p> <ul style="list-style-type: none"> <li>▪ Maximum Fee Limit (i.e. maximum amount)</li> <li>▪ Prescribed Costs (Marginal)                             <ul style="list-style-type: none"> <li>• Free Research Effort (i.e. the number of hours not charged)</li> <li>• Hour Staff Rate (£)</li> <li>• Percentage of Marginal Costs (0% - 10%)</li> </ul> </li> <li>▪ Disbursements                             <ul style="list-style-type: none"> <li>• Photocopying cost per page (£)</li> <li>• Postage Rates (£)</li> <li>• CD cost (£)</li> </ul> </li> <li>▪ Alert / Notification Time Periods (e.g. duration for no response to fee notice)</li> <li>▪ Archiving / Deletion Retention Periods</li> </ul> <p><i>Public authorities may wish to automatically calculate disbursement costs using unit costs by categories. Alternatively, they may just require a user to manually enter a value for each RFI, on a case by case basis. However it is likely that a record of how the fee was calculated will be needed to justify any fee.</i></p>	D
F-AD-03	<p>The system shall enable authorised users to maintain fees business rules (DPA) to support automated calculation.</p>	D
F-AD-04	<p>Authorised users shall be able to maintain the organisational structure within the system, in order to support assigning RFIs to the correct individuals/teams.</p> <p><i>This will be related to the public authority's file plans established for their Electronic Records Management System(s).</i></p> <p>The system shall also be able to cater for ongoing changes to organisational structure to ensure that RFIs are allocated to the correct individuals/teams.</p> <p><i>This would also be used to support the escalation of notification warnings when deadlines are nearing / have been exceeded</i></p>	HD
F-AD-05	<p>Authorised users shall be able to maintain a pre-defined list (or taxonomy) of function and subject keywords and the corresponding organisational units/division and/or action officers</p> <p><i>Public authorities may already have developed some form of standard "taxonomy" that they can adapt to this use e.g. file plans established for their Electronic Records Management System(s).</i></p>	HD
F-AD-06	<p>Authorised users shall be able to maintain valid values associated with the list fields outlined in appendices A, B and C.</p> <p><i>Some restrictions on maintenance may be necessary, where system processing is dependent upon specific values.</i></p>	D

<b>ID</b>	<b>Description</b>	<b>Priority</b>
F-AD-07	<p>Authorised users shall be able to update the workflow definition in the system to reflect changes in the business processes.</p> <p><i>Ideally this would be via some form of graphical user interface. Public authorities should consider how the system should handle changes in the workflow e.g. if a stage is removed from the workflow, they should define what happens to any RFIs or appeals that are currently at that stage.</i></p>	D
F-AD-08	<p>Authorised users shall be able to maintain a log of information that has been covered by exemption, Ministerial Certificate, commercial licensing / confidentiality agreement.</p> <p>This log shall be categorised by public authorities pre-defined list (or taxonomy) of function and subject keywords, as well as file references.</p>	D
F-AD-09	<p>Authorised users shall be able to maintain a system calendar for working days – as defined in FoI Section 10(6)</p> <p>Saturdays and Sundays should default to non-working days.</p> <p><i>It should be noted that civil service “Privilege Days” are not counted as Bank Holidays.</i></p>	HD
F-AD-10	<p>The system shall allow authorised users to update details of exemptions that apply to different RFI types.</p>	HD
F-AD-11	<p>Where the system includes automated correspondence production facilities, it shall provide authorised users with a straightforward facility to maintain templates for automatic correspondence.</p>	E
F-AD-12	<p>The system shall provide an automated archiving facility based on business rules to ensure that system performance is maintained and DPA obligations are met.</p> <p>A straightforward facility to “reinstate” archived records shall also be provided, should the need arise.</p> <p><i>Public authorities may wish to retain a rolling-period (e.g. 1 year) of RFIs on the system and archive the remainder. If the public authority wishes to retain the availability of RFIs for a longer period, the system could “strip-out” elements of RFI (mainly the applicant details) in line with their Data Protection policy. Maintaining information about previous requests and decisions might be particularly useful.</i></p> <p><i>In some cases a higher degree of manual intervention may be beneficial, allowing authorised users to review RFIs prior to archive in case they are still deemed to be of current interest and should be retained for the time-being.</i></p>	HD

## 5 Non – Functional Requirements

### OVERVIEW

- 5.1 As stated previously, the nature of this document means that the requirements contained in this section concentrate on external requirements (such as interoperability, legislative requirements and general standards) and a number of “good practice” requirements (such as training and documentation).
- 5.2 Public authorities should consider their own processes, procedures and standards when extending these generic requirements to meet their own needs. The following is a non-exhaustive list of other areas that should be considered:
- System Availability
    - Normal “Hours of Service” (i.e. allowing for backups etc.)
    - Remote Access
  - Performance Requirements
    - Speed of Response
    - Anticipated volume of data
    - Number of users (now/future)
  - Maintenance & Support Arrangements
  - In-house standards for Database / Operating System / Programming Language etc.

### DETAILED REQUIREMENTS

#### Security

<b>ID</b>	<b>Description</b>	<b>Priority</b>
N-SC-01	The system must require each user to enter a User ID & Password to gain access and allow an effective audit trail of how RFIs are processed to be maintained. <i>This may be achieved via a separate login or via the user’s network login details.</i>	E
N-SC-02	The system must be capable of supporting different types of users, who have associated permissions within the system	E

## Language

<b>ID</b>	<b>Description</b>	<b>Priority</b>
N-LG-01	The system shall be compliant with requirements laid down in the Welsh Language Act 1993 i.e. full provision for support of the Welsh Language  This shall include: <ul style="list-style-type: none"><li>▪ Acceptance of RFIs that have been submitted in Welsh</li><li>▪ The user interface of the system (<i>where applicable</i>)</li><li>▪ Production of correspondence for the applicant</li></ul>	E
N-LG-02	The system shall support receipt of RFIs in languages other than English i.e. to cater for public authorities "audience".  <i>In the case of automated correspondence, this may entail use of automated translation services – normal business processes for translation could be employed to address this requirement.</i>	D

## Documentation / Online Help

<b>ID</b>	<b>Description</b>	<b>Priority</b>
N-DC-01	A System Administration manual shall be provided that covers all system administration functions of the system.	HD
N-DC-02	An extensive online help facility shall be provided that covers all user functions, is indexed and fully searchable.  <i>Ideally the help facility should be context sensitive.</i>	HD

## Training

<b>ID</b>	<b>Description</b>	<b>Priority</b>
N-TR-01	Users will require training in how to use the system; training must be tailored to match the different roles of the users.  <i>Ongoing training is needed to cater for staff turnover and changes in role.</i>	HD

## Usability

<b>ID</b>	<b>Description</b>	<b>Priority</b>
N-US-01	The system shall provide a consistent user interface, menus and commands across all parts of the application to assist new users in getting "up to speed".  <i>This is particularly important where public authorities have areas of high-staff turnover.</i>	HD
N-US-02	The system shall produce meaningful error messages that give users a clear prompts as to how to take corrective action	HD



## Compliance with Standards

<b>ID</b>	<b>Description</b>	<b>Priority</b>
N-ST-01	<p>The system shall comply with the Office of the e-Envoy's e-Government Interoperability Framework (e-GIF) standards.</p> <p>The key elements of e-GIF include:</p> <ul style="list-style-type: none"> <li>▪ universal adoption of common specifications used on the Internet and World Wide Web</li> <li>▪ adoption of XML as the primary standard for data integration</li> <li>▪ adoption of the browser as the key user interface</li> <li>▪ addition of metadata to government information resources</li> <li>▪ development and adoption of the e-GMS (e-Government Metadata Standard) based on the international Dublin Core model</li> <li>▪ development and maintenance of the GCL (Government Category List)</li> </ul>	E
N-ST-02	<p>The system shall comply with the Office of the e-Envoy's e-Government Metadata Standard (e-GMS).</p> <p>e-GMS provides a common base standard for metadata, by defining a superset of metadata terms (elements, refinements and encoding schemes) used by the public sector for a wide range of information systems.</p> <p>Mandatory elements within e-GMS include:</p> <ul style="list-style-type: none"> <li>▪ <b>Accessibility:</b> Indicates the individual piece of information's availability &amp; usability to specific groups.</li> <li>▪ <b>Coverage:</b> The extent or scope of an individual piece of information (this could either on a temporal or spatial basis).</li> <li>▪ <b>Creator:</b> The individual contributor responsible for adding the information to the system.</li> <li>▪ <b>Date:</b> A date associated with an event in the lifecycle of a specific piece of information.</li> <li>▪ <b>Identifier:</b> An unambiguous reference to a piece of information within a given context.</li> <li>▪ <b>Language:</b> Used to specify the language associated with a specific piece of content.</li> <li>▪ <b>Publisher:</b> An entity/organisation responsible for making the information available.</li> <li>▪ <b>Subject:</b> The topic(s) that piece of information relates to (this is also related to the GCL – see above).</li> <li>▪ <b>Title:</b> A name given to an individual piece of information.</li> </ul> <p>It should be noted that some of the information types defined in Appendices A, B and C will address some of these metadata elements.</p>	E
N-ST-03	<p>The system shall comply with the UK Government Data Standards Catalogue (GDSC) that specifies standard format and validation rules for those information types indicated in Appendices A, B and C.</p>	E
N-ST-04	<p>The system shall comply with the National Archives' Requirements for Electronic Records Management Systems, 2: Metadata Standard.</p>	HD

<b>ID</b>	<b>Description</b>	<b>Priority</b>
N-ST-05	<p>The system shall have a user interface that provides accessibility for visually / physically impaired users, including requirements specified in the Disability Discrimination Act 1995.</p> <p><i>It should be noted that government websites are required to be universally accessible, by ensuring compliance with the World Wide Web Consortium's (W3C's) Web Accessibility Initiative (WAI). This policy is interpreted as meaning that all new or redesigned UK government websites should achieve a minimum A rating (all Priority 1 checkpoints are satisfied), which is the lowest level of WAI compliance.</i></p>	E
N-ST-06	<p>The system shall store all dates in a format compliant with ISO 8601</p> <p>Dates shall be formatted as <b>YYYY-MM-DD</b> where YYYY is the year in the usual Gregorian calendar, MM is the month of the year between 01 (January) and 12 (December), and DD is the day of the month between 01 and 31</p> <p>Time shall be formatted as <b>hh:mm:ss</b> where hh is the number of complete hours that have passed since midnight (00-24), mm is the number of complete minutes that have passed since the start of the hour (00-59), and ss is the number of complete seconds since the start of the minute (00-60)</p>	E
N-ST-07	If the system uses an underlying relational database, it must conform to the SQL standard ISO/IEC 9075.	E
N-ST-08	The system must conform to BS7799 Information Management Security.	E

### Backup & Recovery

<b>ID</b>	<b>Description</b>	<b>Priority</b>
N-BR-01	The system shall provide back-up and recovery facilities for all data held within the underlying database.	E

## Appendix A – Applicant Details

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Applicant title <i>[See requirement N-ST-03: GDSC - Data Element: Person Title]</i>	FoI / EIR / DPA / appeals	Manual	HD
Applicant first name <i>[See requirement N-ST-03: GDSC - Data Element: Person Given Name]</i>	FoI / EIR / DPA / appeals	Manual	HD
Applicant initials <i>[See requirement N-ST-03: GDSC - Data Element: Person Initials]</i>	FoI / EIR / DPA / appeals	Manual	D
Applicant surname <i>[See requirement N-ST-03: GDSC - Data Element: Person Family Name]</i>	FoI / EIR / DPA / appeals	Manual	E
Applicant address * (Could be derived from Post Code for UK-based applicants) <i>[See requirement N-ST-03: GDSC - Data Element: UK Postal Address]</i>	FoI / EIR / DPA / appeals	Manual / Automatic	E
Applicant post code * <i>[See requirement N-ST-03: GDSC - Data Element: Post Code]</i>	FoI / EIR / DPA / appeals	Manual	E
Applicant country <i>[See requirement N-ST-03: GDSC - Data Element: Country Code]</i>	FoI / EIR / DPA / appeals	Manual	D
Organisation name (Could develop a central list of names to refer to /update, rather than free text) <i>[See requirement N-ST-03: GDSC - Data Element: Organisation Name]</i>	FoI / EIR / DPA / appeals	Manual	D
Applicant telephone number <i>[See requirement N-ST-03: GDSC - Data Element: UK Telephone Number]</i>	FoI / EIR / DPA / appeals	Manual	D
Applicant fax number <i>[See requirement N-ST-03: GDSC - Data Element: UK Telephone Number]</i>	FoI / EIR / DPA / appeals	Manual	D
Applicant email address * <i>[See requirement N-ST-03: GDSC - Data Element: Internet e-Mail Address]</i>	FoI / EIR / DPA / appeals	Manual	E

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Applicant accessibility requirements <i>This would be complementary to the Required Response Format recorded against the RFI. (Used to record any specific accessibility requirements such as needing Braille or large-print versions of letters / documents)</i>	FoI / EIR / DPA / appeals	Manual	D

- \* An address for correspondence required under the access regimes can either be a postal address (with post code) or an email address.

## Appendix B – Request Information

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Unique identifier	FoI / EIR / DPA	Automatic	E
Request type <i>Suggested values:</i> <b>FoI</b> <b>EIR</b> <b>DPA</b> <b>Hybrid (of FoI / EIR / DPA)</b> <i>Public authorities may choose to process requests under the Data Protection Act using a separate system/process, to address any concerns about access to sensitive personal data.</i>	FoI / EIR / DPA	Manual	E
Original text of RFI (or a link to where it is kept)	FoI / EIR / DPA	Manual	E
Abstract of RFI	FoI / EIR / DPA	Manual	D
RFI subject(s) <i>Based on a public authority's own Subject Keyword list / Taxonomy.</i>	FoI / EIR / DPA	Manual	D
Required response format <i>In terms of permanent form / applicant inspection / summary – as specified in section 11.</i>	FoI / EIR	Manual	E
Format of RFI <i>Suggested values:</i> <b>Letter</b> <b>Email</b> <b>Fax</b> <b>Phone</b> <b>Web Form</b>	FoI / EIR / DPA	Manual	D
RFI language <i>Suggested values:</i> <b>English</b> <b>Welsh</b> <i>(to be decided by public authority)</i>	FoI / EIR / DPA	Manual	E
Date sent by applicant <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Manual	E
Date received by public authority <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Manual	E

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Date logged by public authority <b>[See requirement N-ST-03: GDSC - Data Elements: Date &amp; Time]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Automatic	E
Target due date <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Automatic	E
Complex EIR – extend deadline flag <u>Suggested values:</u> <b>Y</b> <b>N</b>	EIR	Manual	E
FoI – public interest consideration – extend deadline flag <u>Suggested values:</u> <b>Y</b> <b>N</b>	FoI	Manual	E
Actual completion date <b>[See requirement N-ST-03: GDSC - Data Elements: Date &amp; Time]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Manual	E
Transferred from public authority – organisation name	FoI / EIR / DPA	Manual	D
Transferred from public authority – RFI unique identifier	FoI / EIR / DPA	Manual	D
Transferred to public authority – organisation name	FoI / EIR / DPA	Manual	D
Transfer approval by applicant date <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Manual	D
Created by staff ID <i>Based on user login details</i>	FoI / EIR / DPA	Automatic	E
Created by staff division <i>Based on user login details</i>	FoI / EIR / DPA	Automatic	D
Last updated by staff ID <i>Based on user login details</i>	FoI / EIR / DPA	Automatic	E
Last updated by staff division <i>Based on user login details</i>	FoI / EIR / DPA	Automatic	D

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Last updated date <b>[See requirement N-ST-03: GDSC - Data Elements: Date &amp; Time]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Automatic	E
Allocated current action officer / researcher	FoI / EIR / DPA	Manual	E
Allocated current division <i>Derived from current action officer / researcher</i>	FoI / EIR / DPA	Automatic	HD
RFI status <u>Suggested values:</u> <b>Partially Entered</b> <b>Valid RFI Received</b> <b>Allocated</b> <b>Await Applicant Response (for further information to identify and locate the information requested)</b> <b>Await Approval to Transfer</b> <b>Await Fees</b> <b>Fees Received</b> <b>In Progress</b> <b>Information Found</b> <b>Check with 3<sup>rd</sup> Party</b> <b>Exemptions Check</b> <b>Formatting</b> <b>Closed</b>	FoI / EIR / DPA	Manual	E
Acknowledgement sent date <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Automatic	E
Advice and assistance sought date <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Manual	E
Advice and assistance provided date <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR / DPA	Manual	E
Research estimate (Hours) <b>[See requirement N-ST-03: GDSC - Data Element: Duration Hours]</b>	FoI / EIR	Manual	E
Exemptions estimate (Hours) <b>[See requirement N-ST-03: GDSC - Data Element: Duration Hours]</b>	FoI / EIR	Manual	D

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Commercial / Non-Commercial fees flag <i>Suggested values:</i> <b>Commercial</b> <b>Non-Commercial</b>	EIR	Manual	D
Total prescribed cost (£) <b>[See requirement N-ST-03: GDSC - Data Elements: Amount &amp; Currency Type]</b>	FoI / EIR	Automatic	E
Chargeable prescribed fee (£) <b>[See requirement N-ST-03: GDSC - Data Elements: Amount &amp; Currency Type]</b>	FoI / EIR	Automatic	E
Estimate disbursement fee (£) <b>[See requirement N-ST-03: GDSC - Data Elements: Amount &amp; Currency Type]</b>	FoI / EIR	Manual	HD
Actual disbursement fee (£) <b>[See requirement N-ST-03: GDSC - Data Elements: Amount &amp; Currency Type]</b>	FoI / EIR	Manual	D
Total fee (£) <b>[See requirement N-ST-03: GDSC - Data Elements: Amount &amp; Currency Type]</b>	FoI / EIR / DPA	Automatic	E
Exceeds fee limit flag <i>Suggested values:</i> <b>Y</b> <b>N</b>	FoI	Automatic	E
Fee notice sent date <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR	Manual	E
Fees paid date <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	FoI / EIR	Manual	E
Research actual effort (Hours) <b>[See requirement N-ST-03: GDSC - Data Element: Duration Hours]</b>	FoI / EIR	Manual	D
Exemptions actual effort (Hours) <b>[See requirement N-ST-03: GDSC - Data Element: Duration Hours]</b>	FoI / EIR	Manual	D
Name of third party(s) affected by RFI <b>[See requirement N-ST-03: GDSC - Data Elements: Person Full Name &amp; Organisation Name]</b>	FoI / EIR	Manual	D



<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Third party consent date(s) <i>[See requirement N-ST-03: GDSC - Data Element: Date]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	Fol / EIR	Manual	D
Exempt flag <u>Suggested values:</u> <b>Fol Exemption – Sections 22</b> <b>Fol Exemption – Sections 23</b> <b>Fol Exemption – Sections 24</b> <b>Fol Exemption – Sections 26</b> <b>Fol Exemption – Sections 27</b> <b>Fol Exemption – Sections 28</b> <b>Fol Exemption – Sections 29</b> <b>Fol Exemption – Sections 30</b> <b>Fol Exemption – Sections 31</b> <b>Fol Exemption – Sections 32</b> <b>Fol Exemption – Sections 33</b> <b>Fol Exemption – Sections 34</b> <b>Fol Exemption – Sections 35</b> <b>Fol Exemption – Sections 36</b> <b>Fol Exemption – Sections 37</b> <b>Fol Exemption – Sections 38</b> <b>Fol Exemption – Sections 39</b> <b>Fol Exemption – Sections 40</b> <b>Fol Exemption – Sections 41</b> <b>Fol Exemption – Sections 42</b> <b>Fol Exemption – Sections 43</b> <b>Fol Exemption – Sections 44</b> <b>Fol Certificate – Section 23(2) Security Matters</b> <b>Fol Certificate – Section 24(3) National Security</b> <b>EIR Exception – Section 3(a) it does not hold the information</b> <b>EIR Exception – Section 3 (b) request is unreasonable</b> <b>EIR Exception – Section 3(c) request is formulated too generally</b> <b>EIR Exception – Section 10(3) (d) unfinished documents or incomplete data</b> <b>EIR Exception – Section 10(3) (e) internal information</b> <b>EIR Exception – Section 10(4) (a) international relations, defence, national security or</b>	Fol / EIR	Manual	E

Information Type	Scope	Derivation	Priority
<p><b>public safety</b>  <b>10 (4) (b) course of justice, fair trial, conduct of criminal or disciplinary enquiry</b>  <b>10 (4) (c) intellectual property rights</b>  <b>10 (4) (d) confidentially of proceedings</b>  <b>10 (4) (e) commercial confidentiality</b>  <b>10 (4) (f) protect interests of person who provided the information</b>  <b>10 (4) (g) protection of the environment</b></p> <p><i>It should be possible to record multiple exemptions against a given RFI.</i></p>			
Reason for applying exemption(s)	Fol / EIR	Manual	D
<p>Refused flag</p> <p><u>Suggested values:</u></p> <p><b>Refused – Section 13(1); Fee limit</b>  <b>Refused – Section 14(1); Vexatious</b>  <b>Refused – Section 14(2); Repeated</b>  <b>Refused – Section 8; No name &amp; address for correspondence</b>  <b>Refused – Section 1(3); Public authority reasonably requires further information to identify request, which has not been supplied</b></p>	Fol / EIR	Manual	E
<p>Entire document refused flag</p> <p><u>Suggested values:</u></p> <p><b>Y</b>  <b>N</b></p>	Fol/EIR	Manual	E
<p>Neither confirm nor deny flag</p> <p><u>Suggested values:</u></p> <p><b>Neither Confirm/Deny – All</b>  <b>Neither Confirm/Deny – Part</b></p>	Fol / EIR / DPA	Manual	E
<p>Outcome of RFI</p> <p><u>Suggested values:</u></p> <p><b>Closed – No Response to supply further details to identify and locate the information requested</b>  <b>Closed – No Fees</b>  <b>Information Not Held</b>  <b>Information No Longer Available</b>  <b>Information Available Elsewhere</b>  <b>Transferred Out to another public authority</b></p>	Fol / EIR / DPA	Manual	E

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
<b>Transferred Out to National Archives</b> <b>No Information Delivered</b> <b>Information Partially Delivered</b> <b>All Information Delivered</b>			
Information released flag <u>Suggested values:</u> <b>Y</b> <b>N</b>	FoI/EIR	Manual	E
Information summary released <u>Suggested values:</u> <b>Y</b> <b>N</b>	FoI/EIR	Manual	E
Reason for not achieving target deadline.	FoI / EIR / DPA	Manual	D
Level of final signoff <i>This should be from a pre-defined list that is specific to the public authority.</i>	FoI / EIR / DPA	Manual	D
Ministerial certificate issued against RFI <u>Suggested values:</u> <b>Y</b> <b>N</b>	FoI/EIR	Manual	D
Judicial review of ministerial certificate in progress <u>Suggested values:</u> <b>Y</b> <b>N</b>	FoI/EIR	Manual	D
Outcome of judicial review of ministerial certificate <u>Suggested values:</u> <b>Upheld</b> <b>Quashed</b>	FoI/EIR	Manual	D

## Appendix C – Appeal Information

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Unique identifier	appeals	Automatic	E
Associated RFI unique identifier	appeals	Manual	E
Appeal type <i>Suggested values:</i> <b>Internal Review</b> <b>Information Commissioner</b> <b>Information Tribunal</b> <i>Public authorities may choose to process appeals using a separate system/process</i>	appeals	Manual	E
Appeal raised by <i>Suggested values:</i> <b>Applicant</b> <b>Public Authority</b>	appeals (Information Tribunal)	Manual	HD
Date received by public authority <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	appeals	Manual	E
Date logged by public authority <b>[See requirement N-ST-03: GDSC - Data Elements: Date &amp; Time]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	appeals	Automatic	E
Target due date <b>[See requirement N-ST-03: GDSC - Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	appeals	Automatic	E
Actual completion date <b>[See requirement N-ST-03: GDSC - Data Elements: Date &amp; Time]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	appeals	Automatic	E
Reason for not achieving target deadline.	appeals	Manual	D
Created by staff ID <i>Based on user login details</i>	appeals	Automatic	E
Created by staff division <i>Based on user login details</i>	appeals	Automatic	D
Acknowledgement sent date <b>[See requirement N-ST-03: GDSC -</b>	appeals	Automatic	E

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
<b>Data Element: Date]</b> <b>[See requirement N-ST-05: ISO 8601]</b>			
Last updated by staff ID <i>Based on user login details</i>	appeals	Automatic	E
Last updated by staff division <i>Based on user login details</i>	appeals	Automatic	D
Last updated date <b>[See requirement N-ST-03: GDSC - Data Elements: Date &amp; Time]</b> <b>[See requirement N-ST-05: ISO 8601]</b>	appeals	Automatic	E
Reason for appeal <u>Suggested values:</u> <b>Fees Amount</b> <b>Fees Limit</b> <b>Repeated/Vexatious Request</b> <b>Fol Exemption – Sections 21-44</b> <b>EIR Exemption</b> <b>Length of Time Taken to Process Request</b>	appeals	Manual	E
Appeal manager	appeals	Manual	D
Allocated current action officer / researcher	appeals	Manual	E
Allocated current division <i>Derived from current action officer / researcher</i>	appeals	Automatic	D
Appeal status <u>Suggested values:</u> <b>Raised</b> <b>Information Provided</b> <b>Result Pending</b> <b>Compliance with Decision Required</b> <b>Completed</b>	appeals	Manual	E
Outcome of appeal <u>Suggested values (dependent on appeal type):</u> <ul style="list-style-type: none"> <li>▪ <u>Internal Review</u>  <b>Original decision upheld</b>  <b>Information partially released</b>  <b>Information released</b>  <b>Fee notice upheld (option)</b>  <b>Fee notice overturned (option)</b>  <b>Vexatious/repeated request upheld (option)</b>  <b>Request has been processed (option)</b></li> <li>▪ <u>Information Commissioner</u>  <b>Informal Settlement</b></li> </ul>	appeals	Manual	E

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
<p><i>Decision Notice - Upheld</i>  <i>Decision Notice - Part Upheld</i>  <i>Decision Notice - Complaint Upheld</i>  <i>Fee Notice Upheld</i>  <i>Fee Notice Overturned</i>  <i>Vexatious/Repeated Request upheld</i>  <i>Request has been processed</i></p> <ul style="list-style-type: none"> <li>▪ <u>Information Tribunal</u>  <i>Information Commissioners Decision Upheld</i>  <i>Information Commissioners Decision Overruled</i>  <i>Fee Notice Upheld</i>  <i>Fee Notice Overturned</i>  <i>Vexatious/Repeated Request upheld</i>  <i>Request has been processed</i></li> </ul>			
Compliance required to address decision	appeals	Manual	E
Decision to be complied by date <i>[See requirement N-ST-03: GDSC - Data Element: Date]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	appeals	Manual	E
Enforcement Notice served by Information Commissioner <u>Suggested values:</u> <b>Y</b> <b>N</b>	appeals	Manual	E
Ministerial veto issued flag <u>Suggested values:</u> <b>Y</b> <b>N</b>	appeals	Manual	E
Ministerial veto undergone judicial review <u>Suggested values:</u> <b>Y</b> <b>N</b>	appeals	Manual	E

## Appendix D – Contact History Details

<b>Information Type</b>	<b>Scope</b>	<b>Derivation</b>	<b>Priority</b>
Date & time contact received/occurred <i>[See requirement N-ST-03: GDSC - Data Elements: Date &amp; Time]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	FoI / EIR / DPA / appeals	Manual	E
Date & time entered into system <i>[See requirement N-ST-03: GDSC - Data Elements: Date &amp; Time]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	FoI / EIR / DPA / appeals	Automatic	HD
Channel of communication <u>Suggested values:</u> <b>Letter</b> <b>Email</b> <b>Fax</b> <b>Phone</b> <b>Visit</b> <b>Online web Form</b>	FoI / EIR / DPA / appeals	Manual	E
Phone notes	FoI / EIR / DPA / appeals	Manual	E
Action taken	FoI / EIR / DPA / appeals	Manual	E
Created by staff ID <i>Based on user login details</i>	FoI / EIR / DPA / appeals	Automatic	E
Created by staff division <i>Based on user login details</i>	FoI / EIR / DPA / appeals	Automatic	E

# Appendix E – Central Monitoring Reporting Requirements

## ESSENTIAL REQUIREMENTS

### Baseline data

1. Number of requests received that fulfil the definition of a request for the purposes of monitoring.
2. Number of requests which fulfil the definition of a request for the purposes of monitoring and are refused because the department has searched for the information requested and does not hold it.

### Performance data in processing requests

#### *Timeliness*

3. a) Number of requests that took 20 working days or less to be processed  
b) Number of working days it took each request which exceeded the 20 working day deadline to be processed.
4. Where it is not carried out simultaneously, the number of working days taken to notify the applicant of the department's decision where the balance of public interest lies (see section 10(3) of the Freedom of Information Act) after the day on which they issue a notice in compliance with section 17(1) of the Freedom of Information Act.
5. Number of requests which fall under the Environmental Information Regulations where the time limit is extended from 20 working days to 40 working days because of the complexity or volume of the request.
6. Number of requests outstanding at the end of the reporting year

#### *Handling of requests*

7. Number of times a fee notice was issued or a fee was charged
8. Number of times fee was
  - a) paid and request was processed
  - b) paid and request was not processed
  - c) not paid and request was processed
9. Total amount received in fees
10. Number of times a request was refused because it was considered vexatious
11. Number of times a request was refused because it met the criteria in section 14(2) of the Freedom of Information Act
12. Number of requests where the fee limit under the Freedom of Information Act was invoked
13. Number of requests where departments processed a request in excess of the fees limit because the applicant paid the required amount
14. Of the fees charged under the Environmental Information Regulations the number of times
  - a) a commercial fee was charged
  - b) a non commercial fee was charged



## Measures of disclosure

### *Refusals and disclosures*

15. Number of times a request was granted in full.
16. Number of times the department neither confirmed nor denied it held
  - a) all the information requested
  - b) part of the information requested
17. Number of times the information in a request was refused
  - a) in its entirety
  - b) in part
18. The number requests where an entire document within the scope of a request was refused rather than being partially released or a summary of the document produced
19.
  - a) Where a request falls under the Freedom of Information Act, the number of times search of the exemptions in sections 22 to 44 were cited as the reason for refusal.
  - b) Where a request falls under the Environmental Information Regulations, the number of times each of the Exceptions to the right to disclosure of environmental information were cited as the reason for refusal

## Measures of reviews of decisions

### *Internal review*

20. Number of requests that were referred for internal review on the grounds that information was withheld
21. Of these, the number of requests where
  - a) original decision was upheld
  - b) original decision upheld in part
  - c) complaint upheld

### *Appeals to the Information Commissioner*

22. Number of requests that were appealed to Information Commissioner on the grounds that information was withheld
23.
  - a) Where a request falls under the Freedom of Information Act, the number of times each of the exemptions in sections 21 to 44 were cited as the reason for withholding information in requests that were being appealed
  - b) Where a request falls under the Environmental Information Regulations, the number of time each of the Exceptions to the right to disclosure of environmental information
24. Number of times a fee notice, reasonable fee or advance fee was appealed to the Information Commissioner
25. Number of times the refusal of a request due to the fee limit being applied was appealed
26. Number of times the refusal of a request due to it being considered repeated or vexatious was appealed
27. Of 23, 24, 25 and 26, the number of requests where
  - a) original decision was upheld
  - b) original decision upheld in part
  - c) complaint upheld
28. Number of times an enforcement notice was served on a department by the Information Commissioner

### *Appeals to the Information Tribunal*

29. Number of times the department appealed a decision of the Information Commissioner to the Information Tribunal

30. Number of times the Information Tribunal upheld a decision of the Information Commissioner in full
31. Number of times the Information Tribunal upheld a decision of the Information Commissioner in part
32. Number of times the Information Tribunal overturned a decision of the Information Commissioner

***Use of Certificates to prevent disclosure***

33. Number of times a certificate was issued to the Information Commissioner under section 53(2) of the Freedom of Information Act
34. Number of times a certificate was issued under section 23(2) of the Freedom of Information Act
35. Number of times a certificate was issued under section 24(3) of the Freedom of Information Act
36. Number of times a section 23 certificate was
  - a) upheld by the Information Tribunal
  - b) quashed by the Information Tribunal
37. Number of times a section 24 certificate was
  - a) upheld in full by the Information Tribunal
  - b) upheld in part by the Information Tribunal
  - c) quashed by the Information Tribunal

**DESIRABLE REQUIREMENTS**

*The following are criteria that it is desirable that departments collect and the DCA is recommending be collected, but is not intending to request from them:*

38. Number of times refusal for the exemptions in sections 21 – 44 were cited as the reason for withholding information in requests that were referred for internal review
39. Number of times a fee notice was reviewed
40. Number of times the refusal of a request due to the fee limit being applied was reviewed
41. Number of times the refusal of a request due to it being considered vexatious was reviewed
42. Number of times the refusal of a request due to it being considered repeated was reviewed
43. Of 40, 41 and 42, the number of requests where
  - a) original decision was upheld
  - b) original decision upheld in part
  - c) complaint upheld
44. A measure of the amount of departmental resources consumed in dealing with requests

## Appendix F – Coverage of the Information Monitoring Regime

This section contains the Government Departments, Executive Agencies and Executive NDPBs it is proposed be covered by the Access to Information Monitoring Regime.

All Executive Agencies and Executive NDPBs should report separately from their parent department except where indicated by '#’.

### MINISTERIAL GOVERNMENT DEPARTMENTS AND THEIR EXECUTIVE AGENCIES

#### Office of the Deputy Prime Minister

QEII Conference Centre  
Fire Service College  
The Planning Inspectorate<sup>1</sup>  
The Rent Service  
Ordnance Survey

<sup>1</sup> The Secretary of State for Wales is responsible for the Planning Inspectorate in Wales.

#### Cabinet Office

Central Office of Information<sup>1</sup>  
Government Car and Despatch Agency

<sup>1</sup> The Central Office of Information is a separate Government Department which reports to the Minister of State.

#### Department for Culture, Media and Sport

Royal Parks Agency

#### Ministry of Defence

Abro #  
Armed Forces Personnel Administration Agency #  
Army Personnel Centre #  
Army Training and Recruiting Agency #  
British Forces Post Office #  
Defence Analytical Services Agency #  
Defence Aviation Repair Agency #  
Defence Bills Agency #  
Defence Communications Services Agency #  
Defence Dental Agency #  
Defence Estates Agency #  
Defence Geographic and Imagery Intelligence Agency #  
Defence Housing Executive #  
Defence Intelligence and Security Centre #  
Defence Medical Training Organisation #  
Defence Procurement Agency #  
Defence Science and Technology Laboratory #

Defence Secondary Care Agency #  
Defence Storage and Distribution Agency #  
Defence Transport and Movements Agency #  
Defence Vetting Agency #  
Disposal Services Agency #  
Duke of York's Royal Military School #  
Medical Supply Agency #  
Meteorological Office #  
Ministry of Defence Police  
Naval Manning Agency #  
Naval Recruiting and Training Agency #  
Pay and Personnel Agency #  
Queen Victoria School #  
RAF Personnel Management Agency #  
RAF Training Group Defence Agency #  
Service Children's Education #  
Veterans Agency #  
Warship Support Agency #  
UK Hydrographic Office #

## **Department for Education And Skills**

### **Department for Environment, Food and Rural Affairs**

Centre for Environment, Fisheries and Aquaculture Science  
Central Science Laboratory  
Pesticides Safety Directorate<sup>1</sup>  
Veterinary Laboratories Agency  
Veterinary Medicines Directorate<sup>2</sup>  
Rural Payments Agency<sup>3</sup>

<sup>1</sup> PSD operates on a GB basis by virtue of Agency Agreements with the devolved administrations in Scotland and Wales.

<sup>2</sup> Certain enforcement and food safety matters devolved to Scotland, Wales and Northern Ireland.

<sup>3</sup> The Rural Payments Agency includes the former Intervention Board and MAFF Regional Service Centres. The Agency will make certain payments in Scotland, Wales and Northern Ireland on behalf of the devolved administrations.

## **Foreign and Commonwealth Office**

### **Department of Health**

Medicines and Healthcare products Regulatory Agency  
NHS Estates  
NHS Pensions Agency  
NHS Purchasing and Supply Agency

### **Home Office**

Criminal Records Bureau  
Forensic Science Service  
Passport and Records Agency  
HM Prison Service

## **Department for International Development**

### **Law Officers' Departments**

Legal Secretariat to the Law Officers<sup>1</sup>  
Treasury Solicitor's Department<sup>1</sup>  
Crown Prosecution Service<sup>1</sup>  
Crown Prosecution Service Inspectorate<sup>1</sup>  
Serious Fraud Office<sup>1</sup>

<sup>1</sup> These are separate Government Departments which report to the Attorney General.

### **Department for Constitutional Affairs**

HM Land Registry<sup>1</sup>  
The National Archives, including both the Public Record Office<sup>2</sup> and the Historical Manuscripts Commission  
Court Service  
Public Guardianship Office.

<sup>1</sup> HM Land Registry is a separate Government Department which reports to the Secretary of State of Constitutional Affairs

<sup>2</sup> The Public Record Office is a separate Government Department which reports to the Secretary of State for Constitutional Affairs

### **Northern Ireland Office**

Compensation Agency

### **Privy Council Office**

### **The Scotland Office**

## **Department Of Trade and Industry**

### **Export Credits Guarantee Department (ECGD)**

Companies House  
Employment Tribunals Service  
Insolvency Service  
National Weights and Measures Laboratory  
Patent Office  
Small Business Service

### **Department for Transport**

Driver & Vehicle Licensing Agency  
Driving Standards Agency  
Highways Agency  
Maritime and Coastguard Agency  
Vehicle Certification Agency  
Vehicle Inspectorate

## **HM Treasury**

Debt Management Office  
National Savings and Investments<sup>1</sup>  
Office of National Statistics<sup>2</sup>  
OGCBuying.Solutions  
Royal Mint<sup>3</sup>  
Valuation Office<sup>4</sup>

<sup>1</sup> National Savings is a separate Government department which reports to the Chancellor of the Exchequer.

<sup>2</sup> National Statistics is a separate Government department which reports to the Chancellor of the Exchequer

<sup>3</sup> The Royal Mint is a separate Government department which reports to the Chancellor of the Exchequer.

<sup>4</sup> The Valuation Office is an executive agency of the Chancellor of the Exchequer within the Inland Revenue.

## **The Wales Office**

### **Department for Work and Pensions**

Appeals Service  
Job Centre Plus  
The Pension Service  
Child Support Agency

## **NON MINISTERIAL GOVERNMENT DEPARTMENTS**

Charity Commission  
The Crown Estate  
HM Customs & Excise  
Office of Fair Trading  
Food Standards Agency (*including executive agency Meat Hygiene Service*)  
Forestry Commission  
Office of Gas And Electricity Markets/Gas and Electricity Markets Authority (Ofgem)  
Inland Revenue  
Office of the International Rail Regulator  
Commissioners for the Reduction of the National Debt  
Public Works Loan Board  
Office of the Rail Regulator  
Postal Services Commission  
Office for Standards In Education  
Office of Telecommunications  
Office of Water Services (Ofwat)

## **EXECUTIVE NDPBS**

Legal Services Commission  
Health and Safety Executive and Commission  
Environment Agency

**CRM PROCUREMENT TIMETABLE**

<b>ACTION</b>	<b>COMPLETION DATE</b>
Preparation	November 2016
ITT issued to market	1 <sup>st</sup> December 2016
Framework Suppliers to inform that they are to bid	10 <sup>th</sup> December 2016
Clarification questions (ongoing) from Suppliers	16 <sup>th</sup> January 2017
Responses (ongoing) to Suppliers	Latest January 31 <sup>st</sup> 2017
ITT submissions from Suppliers – 12 noon	1 <sup>st</sup> February 2017
Initial evaluation	15 <sup>th</sup> February 2017
Clarification questions to Suppliers	15 <sup>th</sup> February 2017
Responses to Suppliers	22 <sup>nd</sup> February 2017
Short List Suppliers and notify those not short listed	28 <sup>th</sup> February 2017
Supplier Presentations	20 <sup>th</sup> March 2017
Supplier Reference site visits	27 <sup>th</sup> March 2017
Final Supplier questions and evaluation	10 <sup>th</sup> April 2017
Select Preferred Supplier	13 <sup>th</sup> April 2017
Agree Final Contract detail & Notification of award decision	14 <sup>th</sup> April 2017
Standstill Period	28 <sup>th</sup> April 2017
Contract Sign	1 <sup>st</sup> May 2017

	<b>Section</b>
<b>Information</b>	Summary Sheet
	Pre-Requisites
	Instructions
	Glossary
<b>Functional Requirements</b>	CRM System Administration
	CRM Alerts
	CRM Security & Compliance
	CRM Data
	CRM User Interface
	CRM Integration & Interface
	CRM Knowledge Base
	CRM Outputs
	CRM Self-Serve
	Workflow
	CRM Feedback Facility
	CRM Calendar Bookings
	CRM Reporting
	CRM SLA
	CRM Social Care Interface
	CRM Stock Control
CRM Customer Communities	
<b>Non-Functional Requirements</b>	CRM Hosted - Cloud
	System Operation
	Support Arrangements
	Future Developments
	Implementation
	Commercial
	Technical
	CRM Technical
Audit	
<b>Bonus Question</b>	Bonus Question
<b>Scoring</b>	Score Tally (for sections 1.0 - 26.0)
<b>Pricing</b>	Pricing Schedule





# Invitation to Tender

**RM1042 Lot 4:**

Customer Relationship Management System

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## Introduction

### General Requirements

Tenders are invited for the supply, implementation and maintenance of a Customer Relationship Management solution under Lot 4. The system needs to support current and future end-to-end business processes.

The Council's complete requirements are as detailed in the Requirements Specification in Appendix 1.

### Background

As an organisation Shropshire Council is looking to take an innovative and resourceful approach to delivery of services for its citizens by putting in place the systems, processes, information and technology that will make it possible for people to interact with the council better and allow our staff to work differently, closer to the communities and people who need our services, and freed up from fixed office locations.

The Council has established a project to introduce a mature, fully integrated Customer Relationship Management system (CRM) as part of the Business Transformation Project. This is one of three projects incorporated within the Digital Transformation Programme, the others being Technology and Social Care. ERP is also being procured concurrently under RM1042, Lot1, if you can provide both solutions directly or via a partner, please also refer to this lot.

The overall objectives of the Digital Transformation Programme are to

- Have one view/truth of the customer
- Achieve significant financial savings
- Transform the business operating model
- Redesign and streamline the operational processes across the business
- Build a more flexible, agile and integrated technology solution
- Improve customer engagement and encourage customers to interact directly with the Council via digital media and self-service.
- One view of the Council for customers
- A single view of each data element

Therefore it can be summarised that the overall key objectives of the programme to measure success which are relevant to this specific procurement will be;

- Provide a single view of the customer
- Meet savings targets
- Redesign services to increase efficiency through streamlining systems and improving business processes
- Enable innovation and new ways of flexible working with a significant increase in channel shift to digital by default technologies whilst retaining face -to -face contact where needed
- Reshape the relationship between customers, communities, and local government
- Improve communications and partnership working across public services
- Improve Management Information and contract performance reporting through the establishment of a secure, single data source.
- Support a commissioning business model
- Provide clients with self-service options to support the digital by default strategy
- Improve end-user empowerment through the further adoption of self-service practices
- Provide flexible computer and storage capacity
- Reduce back-office operational costs
- Improve front-line service delivery through improved effectiveness and efficiencies within back-office operations and improved technology capabilities.

- Improve information management by establishing a secure, single data source and thereby reduce duplication of information and processes and eliminate the need for re-keying of data into separate local systems
- Streamline business processes through the introduction of end to end workflow processes
- Replace existing ageing disparate business systems that are expensive to maintain with a modern CRM solution that makes use of up-to-date functionality

The Council requires a CRM solution to be implemented by April 2018. This will be subject to review based on supplier feedback.

It will be flexible, easy to use, intuitive and capable of being integrated with core Council systems, where appropriate. It will also be accessible securely by Council staff, and by their public and private sector partners, using web based technology.

The solution should provide a single cloud-based platform delivering core business systems and have the ability to access all applications, reports and dashboards using mobile technology. A single database with a single view of the customer needs to link all back-office processes and data across all corporate Line of Business systems, facilitating the delivery of a single “front-door” for Shropshire Council. It should also provide rich analytics, Business Intelligence and operational statistics for end to end processes and across operational areas.

There will need to be off-line application capabilities to mitigate the connectivity issues currently experienced by front-line staff, an intrinsic Master Data Management capability and single sign-on for officers, partners, agencies and customers with access to applications governed by job roles and permissions. To achieve properly aligned or connected systems to facilitate rectifying the problems of processing and data accuracy is a major objective as is discontinuing ‘silos’, where data is often duplicated and effective management reporting is difficult.

## Key Business Objectives

### Key Business Objectives for a CRM solution

The Council has a requirement to tender for a CRM system to replace their existing systems. The function of the system will incorporate the following facilities

- Manage a case from inception to resolution including costs and payments; maintain a full record of the customer interaction and build up customer portfolios.
- Enable the Council to easily and accurately analyse and forecast demand across services
- Enable the Council to easily and responsively understand resources, requirements, capabilities and costs
- Support managers to plan services effectively and to allocate appropriate resources
- Let different services / teams interface with the same record on an open case.
- Let Council staff and partner agencies have access to all or part of a customer’s electronic interaction portfolio to support service development, issue identification and resolution.
- Support the Council’s adherence to relevant national and local strategies, policy directives and statistical returns.
- Link systems together to enable the flow and connectivity of data in order to share intelligence and minimise manual data inputting
- Provide standard and customisable management information to support service delivery planning, monitoring and outcome measurements
- Two-way interfaces with Council LOB systems
- Incorporate a wide ranging self-service facility integrated with the CRM and consolidated CRM records
- Expedite a single customer “golden” record
- Provision of broad and fully customisable knowledge base

- Provide workflow capabilities to facilitate customer contact resolution across all contact media channels
- Facilitate communication
- Accumulate information across customer interactions and process this information to maximise MI and BI
- Facilitate the aggregation and segmentation of data across all lines of business

#### Operational

- Capture and resolution of customer needs
- Customer Communication including resolution outputs
- Accessibility
- Adaptability
- Workflow
- Knowledge Base
- Document Output
- Bookings

#### Analytical

- Database structure and management
- Customer Satisfaction
- Segmentation
- Relational Intelligence
- Customer Behaviour Tracking
- Data Mining
- Correlation
- Pattern Recognition
- KPI measurement
- Information consolidation
- Removal of Data Silos
- Enable users to set-up and run bespoke reports
- Statutory returns

#### Collaborative

- Incorporates internal services and suppliers
- Incorporates Commissioned Partners
- Interfaces or integrates with LOB systems
- Incorporates SLAs
- Consolidates information across all services.

## Scope of the System

The scope of the system and the response to the tender is as detailed in the Requirements Specification - Appendix 1. However, if the Tenderer has a facility which would genuinely add value to the solution and is totally relevant then it may outline the detail, benefits and cost of the facility accordingly, as an option.

The system must demonstrate the ability to meet all the Council's business needs as specified in the Invitation to Tender (ITT), some of which are currently embedded in other related peripheral systems as identified in the next section. The Tenderer will need to explain how their solution meets the requirements, whether as part of the core solution, or as to be developed and the timescale, or whether to integrate with existing Council systems.

The system must enable the Council 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

key users of the system. The system is required to support the Council in monitoring and evaluating the work to be done and therefore reporting and data management functionality is essential.

Tenderers may not be able to provide all of the component requirements directly as part of their solution. Therefore Tenderers need to outline what their immediate capability is, and in terms of customer reference sites. Where they do not have immediate capability they will need to specify either their solution development programme and/ or those major relevant systems they can interface with at the present.

## Peripheral Systems

Current IT systems in use relevant to the implementation are listed below. There may be some additional systems which come into scope once further investigation has been undertaken.

<b>System Name</b>	<b>Purpose</b>
Darwin (MS Dynamics)	Current CRM solution is Darwin, this is also being reviewed as part of the CRM project. MS Dynamics CRM utilising Ciber's Call-Guide Manager as a user interface.
e5 (Advanced Business Solutions)	Current Finance System in scope for the ERP Solution
CASPAR	Current Social care system, this is also to be reviewed under the Social Care project. Client Money and Case Management System for Appointees and Public Authorities Deputies
CM2000 Finance Manager	Current Social care system, this is also to be reviewed under the Social Care project. Automate and manage provider payments
Civica Icon	Used by several teams across the council as an electronic client file and workflow tool (DMS). There are also other DMS used across the Council and is in scope for rationalisation. This is also used as our current Income Manager system.
I-World (Northgate)	Current Revenue & Benefits systems
Northgate (HR & Payroll)	Current HR & Payroll system in scope for the ERP Solution
Delta	Current Procurement system in scope for replacement by the ERP Solution
E-Pay	Current BACS system
Bank Line	Current bankline - Natwest Bankline
Business Procurement Card Portal	Current Purchase Card Portal
NGCC (BT)	Current Contact centre solution
Customer first (MS Outlook)	Management of customer emails
Crowd Control	Social Media management tool
Biztalk	Inter-Organisational middleware connecting Darwin with Veolia & Ciber's DataHub (Addresses & customers)
Waste Management Access Database	Monitoring of household recycling centre permits
Veolia Dynamics	Veolia Shropshire's Waste Management Software
CONFIRM	Enterprise Asset Management Solution
IDox Uniform	Regulatory Services Software Solution
Geolocation Mapping Tool	Supports Regulatory Services Analysis (ASB)
Galaxy (Axiell)	Library Management System

Chipside	Parking & Traffic Management IT
Blue Badge Improvement Service (Northgate)	Prevents Blue Badge fraud across the UK
Unicard CMS	Concessionary Travel management system
Xpress Register	Electronic Electoral register
Zipporah Registrar Booking System	To make bookings for Registrars appointments
Capita ONE	Education Management Systems
E-CINS	Strengthening Families & Early Help Case Management
ArcGIS	Corporate mapping tool
Archives Resources Calendar (Outlook)	Archives Calendar
Lets Talk Local Calendar (Outlook)	Adult services hub calendar
ALTAIR	Current Pensions System
Care First	Current Social Care system, in scope of Social Care Project
IBS	Current Housing System
Magicard	Produces and manages ID cards for the council
SurveyMonkey	Online Surveys
MS Outlook	
MS Skype for Business	
Address base	Provides postal address details for all UK properties
CCT Calendar	Early Help Consultation Calendar
CAMHS Calendar	Child and Adult Mental Health Assessment team
CIVICA APP	Housing system
TechForge	Hosted case management system for Estates & Premises Services
EI Data	BSRS In-house SQL database with a Microsoft access front end links to ArcGIS.
IT Business System	In-house MS Access
P2P	Central procurement system with items available defined by procurement frameworks or contracts
HAVAS	e-recruitment system used by HR
EDRMS	Electronic Document Management Solution within Council SharePoint. Hosted in Azure.
Evolute	CRM solution for Business Growth & Prosperity
EXACOM - CIL	Custom development to manage Community Infrastructure Levy
CARDINUS	Corporate Safety online training solution
ResourceLink	Current HR System in scope for replacement by the ERP Solution
E-Bulk	HR Employment services use the e-bulk for their disclosure service
Saffron (Fretwell-Downing)	Shire Services Catering Management Information System
sQuid	Shire Services Catering Management Information System  (i.e. Dinner money payment and meal ordering system used in primary schools taking catering from Shire Services national)
SPECTRIX	Theatre 7 box office / marketing system.
ICR Touch	Theatre 7 EPOS system.



Northgate NES Local Welfare Provision	Welfare Support Team use for case management purposes.
Mayrise	Highways Street works management system
DP and FOI	Data Protection and Freedom of Information case management system Currently a module within the Darwin CRM
CCC System	Case management system for the Complaints, Compliments and Comments team Currently a module within the Darwin CRM

## Pricing – Specification of Requirements

In this document Tenderers are invited to explain how their solution will meet the needs of the Council in respect of 'peripheral systems', including how the proposed solution either includes/integrates the functionality of such systems or how the solution might interface to a third party system. Tenderers are expected to have priced those integrations, modules and interfaces to third parties within the price of their overall system solution – hereafter referred to as the 'Whole Life Costs'.

The Council understands that the solutions proposed by tenderers in respect of peripheral system functionality could be quite varied and could include different combinations of an integrated, modular or interface approach. To that end, tenderers are asked to do the following:

- a) Provide a Whole Life Cost, which includes all of the functionality outlined throughout the requirements specification that the tenderer is able to supply including peripheral system
- b) Describe the composition of their overall solution indicating how each element/module/function is delivered i.e. is it:
  - o Fully integrated into the core product
  - o A 'bolt-on' module
  - o An interface solution
  - o Third-party software
  - o Other/hybrid solution

Tenderers are invited to outline their responses in the section of the Specification of Requirements and Tender Response document – Appendix 1.

Tenderers will be evaluated on the Whole Life Cost only. Tenderers will, however, provide costed details on each of the integrations, modules and any interfaces to third parties that are included in the Whole Life Cost. The Council needs to be more informed about those component costs when undertaking some key business decisions in respect of its Digital Transformation Programme; some of the systems and interfaces currently in use may not be required/used in the future. The Council, therefore, reserves the right not to purchase or pay the relevant cost in relation to all elements/modules/interfaces that may be included within the Whole Life Cost.

## Submission of Tender Process and Documents

### Instructions for Tendering

You are invited to tender for the provision of an integrated CRM System under the CCS Framework RM 1042 – Lot 4

#### 2.1.1

Tenders are to be submitted in accordance with the RM1042 framework terms and conditions and the instructions outlined within this document.

#### 2.1.2

Tenders must be submitted in accordance with the following instructions. Tenders not complying in any particular way may be rejected by Shropshire Council (the Council) whose decision in the matter shall be final. Persons proposing to submit a Tender are advised to read the Invitation to Tender documentation carefully to ensure that they are fully familiar with the nature and extent of the obligations to be accepted by them if their Tender is accepted.

#### 2.1.3

The Invitation to Tender documents must be treated as private and confidential. Tenderers should not disclose the fact that they have been invited to tender or release details of the Invitation to tender document other than on an “in confidence” basis to those who have a legitimate need to know or who they need to consult for the purpose of preparing the tender as further detailed in these Instructions for Tendering.

#### 2.1.4

Tenderers shall not at any time release information concerning the invitation to tender and/or the tender documents for publication in the press or on radio, television, screen or any other medium without the prior consent of the Council.

#### 2.1.5

The fact that a Tenderer has been invited to submit a tender does not necessarily mean that it has satisfied the Council regarding any matters raised in the pre-tender questionnaire submitted under the CCS framework RM1042. The Council makes no representations regarding the Tenderer’s financial stability, technical competence or ability in any way to carry out the required services. The right to return to any matter raised in the pre-tender questionnaire submitted as part of the formal tender evaluation relating against to the CCS framework RM1042 is hereby reserved by the Council.

#### 2.1.6

The Invitation to Tender is issued on the basis that nothing contained in it shall constitute an inducement or incentive nor shall have in any other way persuaded a tenderer to submit a tender or enter into a Contract or any other contractual agreement.

#### 2.1.7

Shropshire Council is purchasing on behalf of itself and any wholly owned local authority company or other entity that is deemed to be a contracting authority by virtue of the Council’s involvement.

## Terms and Conditions

#### 2.1.8

Every Tender received by the Council shall be deemed to have been made subject to the framework Terms and Conditions and these Instructions for Tendering unless the Council shall previously have expressly agreed in writing to the contrary.

#### 2.1.9

The Tenderer is advised that in the event of their Tender being accepted by the Council, they will be required to supply the required goods and services.

## Preparation of Tenders

#### 2.1.10

Tenders should be submitted using the Specification of Requirements and tender response (Appendix 1) following the instructions given towards the front of the document. The Tenderer’s attention is specifically drawn to the date and time for receipt of Tenders and that no submission received after the closing time will be considered.

**2.1.11**

All documents requiring a signature must be signed;

- a) Where the Tenderer is an individual, by that individual;
- b) Where the Tenderer is a partnership, by two duly authorised partners;
- c) Where the Tenderer is a company, by two directors or by a director and the secretary of the company, such persons being duly authorised for the purpose.

**2.1.12**

The Invitation to Tender Documents are and shall remain the property and copyright of the Council

## Tender preparation and costs

**2.1.13**

It shall be the responsibility of Tenderers to obtain for themselves at their own expense all information necessary for the preparation of their Tender. No claim arising out of want of knowledge will be accepted. Any information supplied by the Council (whether in the Tender Documentation or otherwise) is supplied only for general guidance in the preparation of tenders.

**2.1.14**

Any Tenderer considering making the decision to enter into a contractual relationship with the Council must make an independent assessment of the Tender opportunity after making such investigation and taking such professional advice as it deems necessary.

**2.1.15**

Tenderers will be deemed for all purposes connected with their Tender submission where appropriate to have visited and inspected the Council, its assets, all the locations in respect of the delivery of the services/supplies/works and to have satisfied themselves sufficiently as to the nature, extent and character of the services/supplies/works sought, and the human resources, materials, software, equipment, machinery, and other liabilities and other matters which will be required to perform the contract.

**2.1.16**

The Council will not be liable for any costs incurred by Tenderers in the preparation or presentation of their tenders.

**2.1.17**

Tenderers are required to complete all pricing detail in the Invitation to tender documents (Appendix 1). The terms "Nil" and "included" are not to be used but a zero or figures must be inserted against each item. Unit rates and prices must be quoted in pounds sterling and whole new pence.

**2.1.18**

It shall be the Tenderer's responsibility to ensure that all calculations and prices in the Tender documentation are correct at the time of submission.

**2.1.19**

The Tenderer is deemed to have made him/herself acquainted with the Council's requirements and tender accordingly. Should the Tenderer be in any doubt regarding the true meaning and intent of any element of the specification he is invited to have these fully resolved before submitting his Tender. No extras will be allowed for any loss or expense involved through any misunderstanding arising from his/her failure to comply with this requirement.

**2.1.20**

Any Tender error or discrepancy identified by the Council shall be drawn to the attention of the Tenderer who will be given the opportunity to correct, confirm or withdraw the Tender.

**2.1.21**

The Tender Documents must be treated as private and confidential. Tenderers should not disclose the fact that they have been invited to tender or release details of the Tender document other than

on an in Confidence basis to those who have a legitimate need to know or whom they need to consult for the purpose of preparing the Tender.

## Parent Company Guarantee

### 2.1.22

It is a condition of contract that if the tendering company is a subsidiary then its Ultimate Group/Holding Company must guarantee the performance of this contract and provide a letter to that effect signed by a duly authorised signatory of the Ultimate Group/Holding Company if requested to do so by the Council. Where the direct parent company cannot provide an adequate guarantee in the opinion of the Council, the Council will look to another group or associate company, with adequate assets, to be the guarantor. In cases where the contract is with a Joint Venture Company (JVC) or a Special Purpose Vehicle (SPV) company, which may have two or more parent companies and which may not be adequately capitalised or have sufficient financial strength on its own to support the risk and obligations it has under the contract, 'joint and several' guarantees / indemnities from the parent companies of the JVC or SPV may be sought.

## Warranty

### 2.1.23

The Tenderer warrants that all the information given in their Tender submitted in relation to framework RM1042 is true and accurate. The information provided will be deemed to form part of any contract formed under this contract.

The Tenderer warrants that none of their current Directors have been involved in liquidation or receivership or have any criminal convictions

## Tender submission

### 2.1.24

Tenders must be submitted strictly in accordance with the letter of instruction accompanying this Invitation to Tender. Tenders must be submitted by the deadline of **noon, 1<sup>st</sup> February 2017**.

### 2.1.25

No unauthorised alteration or addition should be made to the Requirements Specification and Tender Response Document, or to any other component of the Tender document. If any such alteration is made, or if these instructions are not fully complied with, the Tender may be rejected.

### 2.1.26

Qualified tenders may be submitted, but the Council reserves the right not to accept any such tender. The Council's decision on whether or not a Tender is acceptable will be final.

### 2.1.27

Tenderers should note that their Tender must remain open and valid and capable of acceptance for a period of at least 90 days

### 2.1.28

Tenderers should note that Tenders and supporting documents must be written in English and that any subsequent contract, which may or may not be entered into, its formation, interpretation and performance, shall be subject to and in accordance with the laws of England and subject to the jurisdiction of the Courts of England and Wales.

### 2.1.29

Where Tender submissions are incomplete the Council reserves the right not to accept them.

## Tender Evaluation

### 2.1.30

Tenderers may be called for interview to seek clarification of their tender or additional or supplemental information in relation to their tender. Presentations, site visits and demonstrations will be used to clarify and moderate issues raised in the Tenderer's submissions and will also be evaluated in their own right. Any areas of discrepancy between submissions and information gained from the presentations, site visits and demonstrations will be reviewed and scores previously awarded will be amended if necessary.

**2.1.31**

If the Council suspects that there has been an error in the pricing of a Tender, the Council reserves the right to seek such clarification, as it considers necessary from the Tenderer in question.

## Clarifications

**2.1.32**

Tenderers are responsible for clarifying any aspects of the tendering process and/or the Invitation to Tender documents in the manner described below.

**2.1.33**

If you are unsure of any section and require further clarification, please contact us via our Delta Tender box.

**2.1.34**

Where appropriate, an Authorised Officer may direct the Tenderer to other officers to deal with the matter.

**2.1.35**

All queries should be raised as soon as possible (in writing), in any event not later than **16<sup>th</sup> January 2017**.

**2.1.36**

All information or responses that clarify or enhance the tendering process will be supplied to all Tenderers on a uniform basis (unless expressly stated otherwise). These responses shall have the full force of this Instruction and where appropriate the Conditions of Contract. If a Tenderer wishes the Council to treat a question as confidential this must be expressly stated. The Council will consider such requests and will seek to act fairly between the Tenderers, whilst meeting its public law and procurement duties in making its decision.

**2.1.37**

Except as directed in writing by the Authorised Officer, and confirmed in writing to a Tenderer, no agent or officer or elected Member (Councillor) of the Council has any express or implied authority to make any representation or give any explanation to Tenderers as to the meaning of any of the Tender Documents, or as to anything to be done or not to be done by a Tenderer or to give any warranties additional to those (if any) contained in the ITT or as to any other matter or thing so as to bind the Council in any way howsoever.

## Continuation of the Procurement Process

**2.1.38**

The Council shall not be committed to any course of action as a result of:

- a) Issuing this Invitation to Tender;
- b) Communicating with a Tenderer, a Tenderer's representative or agent in respect of this procurement exercise;
- c) Any other communication between the Council (whether directly or through its agents or representatives) and any other party.

[2.1.39](#)

The Council reserves the right at its absolute discretion to amend, add to or withdraw all, or any part of this Invitation to Tender at any time during the tendering stage of this procurement exercise.

[2.1.40](#)

At any time before the deadline for receipt of tender returns the Council may modify the Invitation to Tender by amendment. Any such amendment shall be numbered and dated and issued by the Council to all participating tenderers. In order to give prospective Tenderers reasonable time in which to take the amendment into account in preparing its Tender return, the Council may in its sole discretion, extend the deadline for submission of the tender returns.

[2.1.41](#)

The Council reserves the right to amend, withdraw, terminate or suspend all or any part of this procurement process at any time at its sole discretion.

## Confidentiality

[2.1.42](#)

All information supplied by the Council in connection with or in these Tender Documents shall be regarded as confidential to the Council unless the information is already within the public domain or subject to the provisions of the Freedom of Information Act 2000.

[2.1.43](#)

The Contract documents and publications are and shall remain the property of the Council and must be returned upon demand.

[2.1.44](#)

Tenderers shall ensure that each and every sub-contractor, consortium member and/or professional advisor to whom it discloses these papers comply with the terms and conditions of this ITT.

[2.1.45](#)

The contents of this Invitation to Tender are being made available by the Council on condition that:

- a) Tenderers shall at all times treat the contents of the Invitation to tender and any related documents as confidential, save in so far as they are already in the public domain and Tenderers shall not, subject to the provisions relating to professional advisors, sub-contractors or other persons detailed below, disclose, copy, reproduce, distribute or pass any of the contents of the Invitation to tender to any other person at any time or allow any of these things to happen;
- b) Tenderers shall not use any of the information contained in this Invitation to tender for any purpose other than for the purposes of submitting (or deciding whether to submit) the tender
- c) Tenderers shall not undertake any publicity activity within any section of the media.

[2.1.46](#)

Tenderers may disclose, distribute or pass this Invitation to tender to their professional advisors, sub-contractors or to another person provided that:

- a) This is done for the sole purpose of enabling an Invitation to tender to be submitted and the person receiving the Information undertakes in writing to keep the Invitation to Tender confidential on the same terms as if that person was the Tenderer; or
- b) The Tenderer obtains the prior written consent of the Council in relation to such disclosure, distribution or passing of the Invitation to Tender; or

- c) The disclosure is made for the sole purpose of obtaining legal advice from external lawyers in relation to the procurement or to any Contract(s) which may arise from it; or
- d) The Tenderer is legally required to make such a disclosure.

#### 2.1.47

The Council may disclose detailed information relating to the Invitation to Tender to its officers, employees, agents, professional advisors or Governmental organisations and the Council may make any of the Contracts and procurement documents available for private inspection by its officers, employees, agents, professional advisors, contracting authorities or Governmental organisations.

## Transparency of Expenditure

#### 2.1.48

Further to its obligations regarding transparency of expenditure, the Council may be required to publish information regarding tenders, contracts and expenditure to the general public, which could include the text of any such documentation, except for any information which is exempt from disclosure in accordance with the provisions of the Freedom of Information Act to be determined at the absolute discretion of the Council.

## Freedom of Information

#### 2.1.49

Please note that from 1 January 2005 under the provisions of the Freedom of Information Act 2000, the public (included in this are private companies, journalists, etc.) have a general right of access to information held by public authorities. One of the consequences of those new statutory responsibilities is that information about your organisation, which Shropshire Council may receive from you during this tendering process may be subject to disclosure, in response to a request, unless one of the various statutory exemptions applies.

#### 2.1.50

In certain circumstances, and in accordance with the Code of Practice issued under section 45 of the Act, Shropshire Council may consider it appropriate to ask you for your views as to the release of any information before we make a decision as to how to respond to a request. In dealing with requests for information under the Act, Shropshire Council has to comply with a strict timetable and it would therefore expect a timely response to any such consultation within five working days.

#### 2.1.51

If, at any stage of this tendering process, you provide any information to Shropshire Council in the expectation that it will be held in confidence, then you must make it clear in your documentation as to the information to which you consider a duty of confidentiality applies. The use of blanket protective markings such as "commercial in confidence" will no longer be appropriate and a clear indication as to what material is to be considered confidential and why it should be given.

#### 2.1.52

Shropshire Council will not be able to accept that trivial information or information which by its very nature cannot be regarded as confidential should be subject to any obligation of confidence.

#### 2.1.53

In certain circumstances where information has not been provided in confidence, Shropshire Council may still wish to consult with you as to the application of any other exemption such as that relating to disclosure that will prejudice the commercial interests of any party. However, the decision as to what information will be disclosed will be reserved to Shropshire Council.

For guidance on this issue see: <http://www.ico.gov.uk>

## Disqualification

#### 2.1.54

The Council reserves the right to reject or disqualify a Tenderer's Tender submission where:

- a) The tenderer fails to comply fully with the requirements of this Invitation to tender or is in breach of any legislation relating to Bribery and Corruption or is guilty of a serious or intentional or reckless misrepresentation in supplying any information required; or
- b) The tenderer is guilty of serious or intentional or reckless misrepresentation in relation to its tender return and/or the procurement process.
- c) The tenderer directly or indirectly canvasses any member, official or agent of the Council concerning the award of the contract or who directly or indirectly obtains or attempts to obtain information from any such person concerning any other Tender or proposed Tender for the services. The Canvassing Certificate must be completed and returned as instructed.
- d) The Tenderer:
  - a) Fixes or adjusts the amount of his Tender by or in accordance with any agreement or arrangements with any other person; or
  - b) Communicates to any person other than the Council the amount or approximate amount of his proposed Tender (except where such disclosure is made in confidence in order to obtain quotations necessary for preparation of the Tender for insurance purposes); or
  - c) Enters into an agreement or arrangement with any other person that he shall refrain from tendering or as to the amount of any Tender to be submitted; or
  - d) Offers or agrees to pay or give or does pay or gives any sum of money, inducement or 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 Tender or proposed Tender for the services any act or omission.

#### 2.1.55

Any disqualification will be without prejudice to any other civil remedies available to the Council and without prejudice to any criminal liability which such conduct by a Tenderer may attract. The Non-Collusive Tendering Certificate must be completed and returned as instructed.

#### 2.1.56

The Council reserves the right to disqualify an Applicant from further participating in this procurement process where there is a change in the control or financial stability of the Tenderer at any point in the process up to award of a contract and such change of control or financial stability has a materially adverse effect on the Tenderer's financial viability or ability to otherwise meet the requirements of the procurement process.

## E-Procurement

#### 2.1.57

As part of its procurement strategy Shropshire Council is committed to the use of technology that can improve the efficiency of procurement. Successful Tenderers may be required to send or receive documents electronically. This may include purchase orders, acknowledgements, invoices, payment advices, or other procurement documentation. These will normally be in the Council's standard formats, but may be varied under some circumstances so as not to disadvantage small and medium suppliers.

## Award of Contract

### Award Criteria

The Award Criteria has been set out within this invitation to tender. The Council is not bound to accept the lowest or any Tender.



## Award Notice

The Contracting Authority reserves the right to pass all information regarding the outcome of the Tendering process to the Office of Fair Trading to assist in the discharge of its duties. Additionally, the Council will adhere to the requirements of the Freedom of Information Act 2000 and Tenderers should note this statutory obligation.

## Transparency of Expenditure

Further to its obligations regarding transparency of expenditure, the Council may also be required to publish information regarding tenders, contracts and expenditure to the general public, which could include the text of any such documentation, except for any information which is exempt from disclosure in accordance with the provisions of the Freedom of Information Act to be determined at the absolute discretion of the Council.

## Value of Contract

Shropshire Council cannot give any guarantee in relation to the value of this contract.

## Acceptance

Tenders must be submitted strictly in accordance with the terms of the Council's Invitation to Tender documentation and acceptance of the tender will be conditional on compliance with this Tender Condition.

## Tender Documentation

The Tender documentation including, the framework Terms and Conditions of Contract, the Tender Response document, these Instructions to Tender will be included in any agreement between the successful Contractor and the Council.

## Provision and Supply of Services

The Tenderer shall be prepared to commence the provision of the supply and services on the start date of the contract arrangement being 1st May 2017.

## Payment Terms

### 2.1.58

Tenderers should particularly note that the principles governing public procurement require that, as far as is reasonably possible, payments for Goods, Works or Services are made after the provision. Therefore, any indication of a pricing strategy within a Tender which provides for substantial payments at the outset of the Contract will be examined carefully to decide whether or not a Tender in such form can be accepted. If in the opinion of the Council such substantial payments appear excessive in relation to the requirements of the Contract the Council reserves, without prejudice to any other right to reject any Tender it may have, the right to require the Tenderer to spread such proportion of the costs as are considered excessive over the duration of the Contract.

## Liability of Council

### 2.1.59

The Council does not bind himself to accept the lowest or any tender.

### 2.1.60

The Council does not accept any responsibility for any pre-tender representations made by or on its behalf or for any other assumptions that Tenderers may have drawn or will draw from any pre-tender discussions.

### 2.1.61

The Council shall not be liable to pay for any preparatory work or other work undertaken by the Tenderer for the purposes of, in connection with or incidental to this Invitation to Tender, or submission of its Tender response or any other communication between the Council and any other party as a consequence of the issue of this Invitation to Tender.

2.1.62

The Council shall not be liable for any costs or expenses incurred by any Tenderer in connection with the preparation of a Tender return for this procurement exercise, its participation in this procurement whether this procurement is completed, abandoned or suspended.

2.1.63

Whilst the Tender Documents have been prepared in good faith, they do not purport to be comprehensive nor to have been formally verified. Neither the Council nor any of its staff, agents, elected Members, or advisers accepts any liability or responsibility for the adequacy, accuracy or completeness of any information given, nor do they make any representation or give any warranty, express or implied, with respect to the Tender Documents or any matter on which either of these is based (including, without limitation, any financial details contained within the Specification and Contract Documentation). Any liability is hereby expressly disclaimed save in the event of fraud, or in the event of specific warranties provided within the Contract Documentation.

The Contractor agrees that where requested in writing during the term of any Agreement for the supply of Goods, Works or Services it will ensure that an appropriately authorised representative of the Contractor shall attend a Committee meeting of the Council upon being invited to do so by the Council

**Declaration**

2.1.64

We, as acknowledged by the signature of our authorised representative, accept these Instructions to Tender as creating a contract between ourselves and the Council. We hereby acknowledge that any departure from the Instructions to Tender may cause financial loss to the Council

Signed (1) ..... Status.....

Signed (2) ..... Status.....

(For and on behalf of .....)

Date .....

Non-Canvassing Certificate

## Non – Canvassing Certificate

Non-Canvassing Certificate

**To: Shropshire Council** (hereinafter called “the Council”)

I/We hereby certify that I/We have not canvassed or solicited any member officer or employee of the Council in connection with the award of this Tender of any other Tender or proposed Tender for the Services and that no person employed by me/us or acting on my/our behalf has done any such act.

I/We further hereby undertake that I/We will not in the future canvass or solicit any member officer or employee of the Council in connection with the award of this Tender or any other Tender or proposed Tender for the Services and that no person employed by me/us or acting on my/our behalf will do any such act.

Signed (1) ..... Status.....

Signed (2) ..... Status.....

(For and on behalf of .....)

Date .....

Non - Collusive Tendering Certificate

## Non – Collusive Tendering Certificate

Non-collusive Tendering Certificate

**To: Shropshire Council (hereinafter called “the Council”)**

The essence of selective tendering is that the Council shall receive bona fide competitive Tenders from all persons tendering. In recognition of this principle:

I/We certify that this is a bona fide Tender, intended to be competitive and that I/We have not fixed or adjusted the amount of the Tender or the rates and prices quoted by or under or in accordance with any agreement or arrangement with any other person.

I/We also certify that I/We have not done and undertake that I/We will not do at any time any of the following acts: -

- (a) communicating to a person other than the Council the amount or approximate amount of my/our proposed Tender (other than in confidence in order to obtain quotations necessary for the preparation of the Tender for insurance); or
- (b) entering into any agreement or arrangement with any other person that he shall refrain from Tendering or as to the amount of any Tender to be submitted; or
- (c) offering or agreeing to pay or give or paying any sum of money, inducement or 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 Services any act or omission.

Signed (1) ..... Status.....

Signed (2) ..... Status.....

(For and on behalf of .....)

Date .....

Declaration of Connection with Officers or Elected Members of the Council

## Declaration of Connection with Officers or Elected Members of the Council

Are you or any of your staff who will be affected by this invitation to tender related or connected in any way with any Shropshire Council Elected Councillor or Employee?

Yes / No

If yes, please give details:

Name	Relationship

**Please note:**

*This information is collected to enable the Council to ensure that tenders are assessed without favouritism. Whether or not you have a connection with elected members or employees will have no bearing on the success of your tender, but your tender will not be considered unless this declaration has been completed.*

Signed (1) .....	Status.....
Signed (2) .....	Status.....

(For and on behalf of .....) )

Date .....

Supplier Information

## Supplier Information

1.1 Supplier details	Answer	
Full name of the Supplier completing the Tender		
Registered company address		
Registered company number		
Registered charity number		
Registered VAT number		
Name of immediate parent company		
Name of ultimate parent company		
Please mark 'X' in the relevant box to indicate your trading status	i) a public limited company	<input type="checkbox"/> Yes
	ii) a limited company	<input type="checkbox"/> Yes
	iii) a limited liability partnership	<input type="checkbox"/> Yes
	iv) other partnership	<input type="checkbox"/> Yes
	v) sole trader	<input type="checkbox"/> Yes
	vi) other (please specify)	<input type="checkbox"/> Yes

Please mark 'X' in the relevant boxes to indicate whether any of the following classifications apply to you	i) Voluntary, Community and Social Enterprise (VCSE)	<input type="checkbox"/> Yes
	ii) Small or Medium Enterprise (SME)	<input type="checkbox"/> Yes
	iii) Sheltered workshop	<input type="checkbox"/> Yes
	iv) Public service mutual	<input type="checkbox"/> Yes

<b>1.2 Contact details</b>	
Supplier contact details for enquiries about this tender	
Name	
Postal address	
Country	
Phone	
Mobile	
E-mail	

Tender Response Checklist

Reference	Item	Completed by Tenderer (Signature)
2.2	NON-CANVASSING CERTIFICATE	
2.3	NON-COLLUSIVE TENDERING CERTIFICATE	
2.4	DECLARATION OF CONNECTION WITH OFFICERS OR ELECTED MEMBERS OF THE COUNCIL	
2.5	SUPPLIER INFORMATION	
2.7	FORM OF TENDER SIGNED	
<b>Appendix 1</b>	SPECIFICATION OF REQUIREMENTS, PRICING SCHEDULE AND TENDER RESPONSE	



Form of Tender

## Form of Tender

Form of Tender

### Shropshire Council

We confirm that this, our tender, represents an offer to Shropshire Council that if accepted in whole, or in part, will create a binding contract for the supply of a CRM System at the prices and terms agreed and subject to the terms of the invitation to tender documentation and the framework terms RM1042 Lot 4, copies of which we have received.

Signed ..... Name.....

Date .....

Designation .....

Company.....

Address .....

.....

..... Post Code .....

## Contract Period

The successful bidder will be responsible for providing this service for a period of five years, commencing on May 1 2017.

## Evaluation of Tenders

As all tenderers under CCS Framework RM 1042 have already been assessed on Selection Criteria this will not be included within the evaluation for this further competition.

### Introduction

Tenders will be evaluated on the answers provided to the questions outlined in the Invitation to Tender.

Scoring and evaluation will be based upon the responses contained in the Specification of Requirements and Tender Response document – Appendix 1.

### Pre-requisites

Your attention is initially drawn to the pre-requisites which are outlined in the second tab of the Tender Response Document. You must be able to answer 'YES' to these questions in order for your response to be considered by the Evaluation Panel. If you cannot meet these pre-requisites, your tender will be excluded from the procurement process.

Additionally, most of the questions and statements included in Commercials, require you to confirm your acceptance of certain terms and conditions. Where you are unable to indicate acceptance of these terms you must provide a relevant and reasonable explanation for consideration by the Evaluation Panel. Further clarification may be sought regarding your comments to satisfy the Evaluation Panel of your ability to meet the terms and conditions.

### Pricing

The Council will be looking to achieve a solution that offers the most comprehensive functionality across all requirements and provides value for money. Please note that in scoring the tender bids across the three Groups below: functional requirements, non-functional requirements and pricing, the Council is not obliged to accept the highest scoring tender received if it is cost prohibitive and unaffordable.

## Section Reference Explanation

Totals used for the scoring and evaluation methods are classified in two Phases based upon the following Group and Section apportionment of points:-

Table A – Section Reference and Weighting			
	Group	Weighted Score out of	Section
<b>Phase 1</b>	Functional Requirements	50	CRM System Administration
			CRM Alerts
			CRM Security & Compliance
			CRM Data
			CRM User Interface
			CRM Integration & Interface
			CRM Knowledge Base
			CRM Outputs
			CRM Self-Serve
			Workflow
			CRM Feedback Facility
			CRM Calendar Bookings
			CRM Reporting
			CRM SLA
			CRM Social Care Interface
	CRM Stock Control		
	CRM Customer Communities		
	Non-functional Requirements	20	CRM Hosted - Cloud
			System Operation
			Support Arrangements
Future Developments			
Implementation			
Commercial			
Technical			
CRM Technical			
Audit			
Pricing	30	<i>Whole Life Cost as detailed in Pricing Schedule</i>	

Phase 1.5	Value Added Questions	5	<i>(Bonus Points for value added questions are awarded at this stage if applicable)</i>
Phase 1.5	Bonus Question	5	<i>Bonus Points for the bonus question are awarded at this stage if applicable.</i>
Phase 2	Presentations, Interactive Demonstrations & Site Visits	30	<i>Shortlisted suppliers from the previous phase move on to this phase.</i>

## Scoring – Phase 1

The requirements outlined in each section of the specification fall into the following scoring categories:

- a) Specific requirement – *Self Scored by Tenderer*
- b) Open ended question – *Scored by Evaluation Panel*
- c) Value-added question – *Scored by Evaluation Panel*
- d) Bonus Question – *Scored by Evaluation Panel*

It is proposed that each of these categories is scored as follows:

## Specific Requirements

Each 'specific requirement' will be indicated as being either Must Have, Should Have or Could Have priority (M, S or C) which will affect the weighted score given to each response which is detailed in Scoring Matrix One.

For these requirements, tenderers are expected to specify which category of response their solution meets, from A to F on the basis of the detail in the table below. Only one category can be selected in response to each statement of requirement.

Response	
A	Fully meets the requirement. Function <b>can</b> be configured by end-user or administrator.
B	Fully meets the requirement. Function cannot be configured by end-user or administrator
C	Fully meets the requirement only by interfacing with a 3rd party software product.
D	Partly meets the requirement. Function <b>can</b> be configured by end-user or administrator.
E	Partly meets the requirement. Function cannot be configured by end-user or administrator.

<b>F</b>	Does not meet the specified requirement.
----------	------------------------------------------

Where your response indicates that your solution fully meets the requirement then the functionality must exist within your current product release (non-beta) in use in at least one other local authority/client.

If the requirement is not fully met please detail those aspects currently available and the programme for development for any remaining areas.

Each response will then be evaluated using Scoring Matrix One as follows:

Weighting	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>F</b>
<b>Must</b>	40	32	24	8	0	0
<b>Should</b>	30	24	18	12	6	0
<b>Could</b>	20	16	12	8	4	0

*There are some 'would' requirements, these will not be scored but will be noted as additional information.*

## Open Ended Questions

Each open ended question will be indicated as being so in the specification of requirements and require a detailed response. They will not have an M, S or C priority.

Open ended questions will be evaluated by the evaluation panel based on the tenderers responses, and scored using Scoring Matrix Two outlined below.

## Value Added Questions

At the end of each section there is a 'value-added' question where respondents are able to outline 'unique' or 'high quality' functionality. It may be that we have omitted something from that Section and the Tenderer has provided a practical proposal. Additionally, where a solution to a requirement is not currently available, but is in development, then value added points can still be earned and under these circumstances the tenderer is expected to provide details of the status (e.g. test, beta) of that development and an anticipated date for delivery.

Value Added Questions will be evaluated by the evaluation panel based on the tenderers responses, and scored using Scoring Matrix Two outlined below. Only one score (which is a maximum of 30 points) will be given per section for value added response(s)

Excellent	30	Exceeds the requirement. Exceptional demonstration by the Tenderer of how they will meet this requirement by their allocation of skills and understanding, resources and quality measures. Response identifies factors that demonstrate added value, with evidence to support the response.
Good	27	Satisfies the requirement with minor additional benefits Above average demonstration by the Tenderer of how they will meet this requirement by their allocation of skills and understanding, resources and quality measures. Response identifies factors that demonstrate added value, with evidence to support the response.

Acceptable	21	Satisfies the requirement. Demonstration by the Tenderer of how they will meet this requirement by their allocation of skills and understanding, resources and quality measures, with evidence to support the response.
Minor Reservations	15	Satisfies the requirement with minor reservations Some minor reservations regarding how the Tenderer will meet this requirement by their allocation of skills and understanding, resources and quality measures, with limited evidence to support the response.
Serious Reservations	9	Satisfies the requirement with major reservations. Considerable reservations regarding how the Tenderer will meet this requirement by their allocation of skills and understanding, resources and quality measures, with little or no evidence to support the response.
Not Acceptable	0	Does not meet the requirement Does not comply and/or insufficient information provided to demonstrate how the Tenderer will meet this requirement by their allocation of skills and understanding, resources and quality measures, with little or no evidence to support the response.

## Bonus Question

There is a 'Bonus Question' section in the requirements specification (Appendix A) which contains a question that must be answered. This question is a yes or no answer. If your answer is 'Yes' please provide a brief comment/explanation as appropriate.

## Evaluation

### Thresholds

There are two initial scoring thresholds that respondents will need to pass to progress to the next stage of evaluation. These thresholds apply to the Functional and Non Functional requirement sections (Sections 1-26), and do not apply to the pricing section.

#### Threshold One

Each respondent will need to achieve at least 20% of the total marks available in each relevant Section of the specification to pass this threshold. This refers to Sections 1-26, which contain detailed functional and non-functional requirements relating to the specific sections as described in the Section Reference & Weighting Table (Table A), however, does not feature in this threshold check.

Only the marks available/achieved for the specific requirements plus the marks available/achieved for the open ended questions will be included at this stage. Value added questions are not included as these should be seen as 'bonus' points available and not specifically a points based requirement.

#### Threshold Two

Each respondent will need to achieve a minimum average score across the following section groups to pass the second threshold:

##### ***Functional Requirements (Sections 1.0 to 17)***

Tenderers must pass a threshold of 50% of the maximum available points for the functional sections combined for their submission to progress.

##### ***Non-Functional Requirements (Sections 18 to 26)***

Tenderers must pass a threshold of 40% of the maximum available points for the non-functional sections combined for their submission to progress.

## Calculation of Assigned Points

## Functional and Non Functional Requirements

- For the Functional and Non-Functional section groups specified above. The maximum weighted points will be awarded to the tenderer that received the highest initial point score for that group
- The maximum weighted score for Functional Requirements is 50, and the maximum weighted score for Non-Functional requirements is 20 – as specified in the section reference & weighting table (Table A)
- All other tenderers will be awarded a percentage of the maximum weighted score for a section based on the percentage difference between their initial points score for the section, compared with the highest initial scoring tender for that group, using the calculation below
- Score = Tender initial points total (C) / Highest tender initial points total (B) x Maximum points for group (A)  
Score = (C / B) \* A

For example, assuming tenderer A has the highest initial group score for Functional Requirements and received the maximum 50 weighted score, and other tenderers scored as follows:

Functional Requirements	Tenderer A	Tenderer B	Tenderer C	Tenderer D	Tenderer E
Initial Points Total	2000	1950	1800	1500	1000
Weighted Score	50	48.75	45	37.5	25

## Pricing

- For the pricing section, the maximum weighted points will be awarded to the tenderer that submits the lowest Whole Life Cost as part of their response.
- The maximum weighted score for pricing is 30, as specified in the section reference & weighting table (Table A)
- All other bids will be given a percentage of the maximum weighted score (30) based on the percentage difference between their bids' Whole Life Cost compared with the lowest bids' Whole Life Cost (which receives the maximum points) using the below calculation
- Score = Lowest Bid Whole Life Cost (C) / Tender Whole Life Cost (B) x Maximum points (A)  
Score = (C / B) \* A

For example, assuming Tenderer A is the lowest bid and received a maximum 30 weighted score, and other tender prices have been submitted as follows:

	Tenderer A	Tenderer B	Tenderer C	Tenderer D	Tenderer E

Whole Life Cost	£3,000,000	£3,050,000	£3,500,000	£4,000,000	£5,000,000
Weighted Score	30	29.5	25.7	22.5	18

More details on the pricing strategy are to be found below in section 5.9 Pricing Evaluation together with earlier sections 1.5 - Peripheral Systems and 1.6 Pricing - Specification of Requirements.

### Value Added Points

Any value added points earned will be added to the assigned points after the initial weighted scoring has taken place for the above sections, and will only be done for tenderers which pass through thresholds one and two.

- The maximum weighted points for value added will be awarded to the tenderer that receives the most value added points, across all of the section groups combined.
- The maximum weighted score for value-added is 5, as specified in the section reference table
- All other tenderers will be awarded a percentage of the maximum weighted score for value-added questions based on the percentage difference between their initial points score for the section, compared with the highest initial scoring tender for value-added questions.

### Bonus Question

The bonus question is worth 5 weighted points for a 'Yes' answer and 0 weighted points for a 'No' answer (as per Table A – Section Weighting and Criteria).

### Overall

The total weighted points score for each Tenderer that has passed through thresholds one and two is therefore:

- The weighted point score from the Functional Requirements sections (1-17)
- The weighted point score from the Non-Functional Requirements sections (18-26)
- The weighted point score from the Pricing section
- The weighted point score from Value Added questions
- The weighted point score from the Bonus Question

This now concludes Phase 1 of the scoring and evaluation process.

### Shortlisting – Phase 2

The Tenderers with the top three scores (also meeting required minimum threshold) will automatically qualify to be invited to the next 'shortlisting' phase.

Tenderers who are notified that they have been short listed, will be issued with a standard brief for presentations, site visits and an interactive demonstration. The reference site visit will be a visit to a local authority that has been a user of the product being put forward as the solution for 3 to 5 years and another that have had an implementation in the last 12 to 18 months. We reserve the right to visit an additional reference site of our choice.

Phase 2 of the tender evaluation process will use the Evaluation Panel to appraise Tenderers against the criteria specified below in Scoring Matrix Three - all members of the Evaluation Panel will represent their respective business areas. The Evaluation Panel members will use a standard scoring mechanism



for presentations, demonstrations and site visits to award points as set out in Scoring Matrix Three below: -

Table 3: Scoring Matrix Three						
Core Topic	Feature/ Function Description	Points to Award for how well the feature/ function is evidenced				
		30 Excellent	25 Good	20 Acceptable	5 Reservations	0 Not Acceptable
Ease of use	How easy/efficient it is to navigate round the system, access/update record(s) and perform the required task(s).					
Operational Functions	How well the system supports the business process for each area.					
Security	Levels of system and data access security, in regards to Role Based Access and Data Control					
Workflow	How well the system manages workflow from and appropriate requesters and approvers and how the system handles prompts and reminders.					
Help facilities	How well the system offers help, particularly when completing complex screen input					
Non Weighted Point Totals						

For explanation of the categories please refer to table 2.

- The maximum weighted points for Phase 2 will be awarded to the tenderer that receives the most points from the criteria specified above in Scoring Matrix 3
- The maximum weighted score for Phase 2 is 30 points, as specified in the section reference table (Table A)
- All other tenderers will be awarded a percentage of the maximum weighted score for Phase 2 based on the percentage difference between their initial points score for the section, compared with the highest initial scoring tender for the Phase 2 (presentations, demonstrations and site visit), criteria

## Response Validation

The Tenderers may be called for interview to seek clarification of their tender or additional or supplemental information in relation to their tender. Presentations, site visits and demonstrations will be used to clarify and moderate issues raised in the Tenderer's submissions. Any areas of discrepancy between submissions and information gained from the presentations, site visits and demonstrations will be reviewed and scores previously awarded will be amended if necessary.

## Pricing Evaluation

### Whole Life Costs

Where the Council is looking to replace, integrate or interface to the functionality of the systems detailed in Peripheral Systems, then this is included in the relevant sections of the Specification of Requirements and Tender Response document – Appendix 1. In this document, Tenderers are invited to explain how their solution will meet the needs of the Council in respect of 'peripheral systems', including how the proposed solution either includes/integrates the functionality of such systems or how the solution might interface to a third party system. Tenderers are expected to have priced those integrations, modules and interfaces to third parties within the full 5 year term cost of their overall system solution.

### Final Selection

The Evaluation Panel will use the assigned score from Phase 1 tender scoring, along with the above evaluation scores from the site visits, supplier presentations and interactive demonstrations to inform their preferred Tenderer choice.

Whoever scores the highest number of points accumulated from Phases 1 and 2 will be identified as the Preferred Tenderer.

## Award of Contract

Any acceptance of a Tender by the Council shall be in writing.

### Confidentiality

The Invitation to Tender, the Framework Conditions of Contract and the Specification and all other documentation or information issued by the Council relating to the tender shall be treated by the Tenderer as private and confidential for use only in connection with the Tender and any resulting contract and shall not be disclosed in whole or in part to any third party without the prior written consent of the Council.

The documents which constitute the Contract and all copies thereof and shall remain the property of the Council and must not be copied or reproduced in whole or in part and must be returned to the Council on demand.

### Tenderer's Warranties

In submitting a Tender, the Tenderer warrants and represents that:

It has complied in all respects with these Conditions of tender

All information, representations and other matters of fact communicated (whether in writing or otherwise) to the Council by the Tenderer or its employees in connection with or arising out of their tender are true, complete and accurate in all respects.

It had made its own investigations and research, and has satisfied itself in respect of all matters relating to the Tender, the Specification and the Conditions of Contract and that it has not submitted the Tender and will not have entered into the Contract in reliance upon any information, representations or assumptions (whether made orally, in writing or otherwise) which may have been made by the Council.

It has full power and authority to enter into the Contract and will if requested produce evidence of such to the Council.

It is of sound financial standing and the Tenderer and its partners, officers, and employees are not aware of any circumstances (other than such circumstances as may be disclosed in the accounts or

other financial statements of the Tenderer which may adversely affect such financial standing in the future

## Words and Expressions

Words defined in the Conditions of Contract shall have the same meaning in the invitation to Tender, the Conditions of Tender and the Specification.

## Conditions of Contract

As this is a further competition under Framework RM1042 Lot 4 CRM, the relevant Crown Commercial Service (CCS) standard call off terms and conditions apply.

## Appendices

### Specification of Requirements and Tender Response

(Please refer to separate excel document)

### Payment Plan

This plan is subject to change dependent on the agreement of a detailed implementation plan between Preferred Supplier and the Council.

<b>10%</b>	Acceptance of design and implementation plan
<b>20%</b>	Design and Build Acceptance
<b>30%</b>	Test and Accept delivery
<b>20%</b>	Cut over of system /Go Live
<b>20%</b>	Post Go Live – 3 months- Formal Contract review related to Performance measures.

### Procurement Timetable

Please refer to Procurement Timetable, Appendix 2.



personal & commercial info

**Private & Confidential**

Softcat Ltd  
Thames Industrial Est  
Field House Lane  
Marlow  
Bucks  
SL7 1TB  
United Kingdom  
[REDACTED]  
[REDACTED]  
[REDACTED]

Shropshire Council  
Shirehall  
Abbey Foregate  
Shrewsbury  
Shropshire  
SY2 6ND

Date: 05/06/2017

Dear Bidder,

**RMCI 024 – PROVISION OF CRM SOLUTION  
FURTHER COMPETITION THROUGH CROWN COMMERCIAL SERVICES (CCS)  
FRAMEWORK – RM1042 – LOT 4 CRM**

**SHROPSHIRE COUNCIL**

**SUBJECT TO CONTRACT**

This is an award decision notice. We are pleased to inform you that, following the evaluation process, Shropshire Council proposes to accept your offer in relation to the above contract.

However, this letter is not, at this stage, a communication of Shropshire Council's formal acceptance and the Council will obey a voluntary "standstill" period which is now in force; this period will end at 23:59 on Thursday 15<sup>th</sup> June 2017.

Subject to Shropshire Council receiving no notice during the standstill period of any intention to legally challenge the award process, the Council aims to conclude the award after the expiry of the standstill period.

commercial & personal info

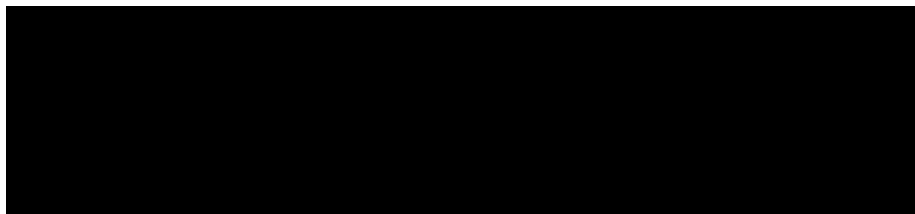
We can confirm that your tender received the following scores and ranking:-

Criteria	Your Weighted Score	Winning Tenderer's Weighted Score	Your Rank (out of all 4 tenders received)
Quality	██████	██████	█
Price	██████	██████	█
Overall	██████	██████	█

For your further information, we would confirm that your quality submission was scored against the published scoring scheme and the stated award criteria and received the marks set out in the enclosed feedback report. The Tenderer feedback report enclosed also sets out the process and individual tender performances throughout the evaluation stage. While all shortlisted tenders performed favourably on quality, demonstrating both functional and non-functional requirements to a similar standard, the successful bidder was the one which was able to demonstrate it also provided the best value solution.

We will be in touch with you again at the end of the standstill period.

Yours faithfully,



**Head of Human Resources & Development  
Programme SRO  
Shropshire Council**

████████████████████  
01743 254402