

Functional Requirements Specification

Herefordshire Connects Phase 2

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Table of Contents

1	Management Summary	5
1.1	Introduction.....	5
1.2	Scope of these requirements	5
2	Generic requirements.....	6
2.1	Customer Access Channels	6
2.2	External Access	6
2.3	Usability.....	6
2.4	System Administration.....	7
2.5	User Authentication and Access control.....	8
2.6	Case Management	8
2.7	Programme and Project Management	9
2.8	Workflow Capabilities	9
2.9	Knowledge and Information Base.....	10
2.10	Management Information and Reporting Capabilities	10
2.11	Service Level Agreements (internal)	11
2.12	Production of Documents.....	11
2.13	Audit trail.....	12
2.14	Authentication Protocols.....	12
2.15	Diary Management / Booking Appointments.....	12
2.16	Route Planning	13
3	Area specific requirements.....	14
3.1	Performance Management.....	14
3.2	Human Resources	16
3.3	Recruitment.....	17
3.4	Integrated Training and E-Learning	17
3.5	Integrated Financial Management.....	18
3.6	Payroll.....	22
3.7	Procurement.....	23
3.8	Asset Management	24
3.9	EDRMS / ESCR / One Client, One Record.....	26
3.10	Schools Management.....	29
3.11	Flexible Working, Home Working & Smarter Working.....	29
4	Compliance Requirements	31
4.1	Freedom of Information Act (FOIA), Environmental Information Regulations (EIR) and Data Protection Act (DPA).....	31

4.2	E-Government Requirements	31
5	Technical Vendor Criteria	33
5.1	Solution Architecture Requirements	33
5.2	Scalability and Disaster Recovery	33
5.3	Security.....	34
5.4	Technical – Platforms.....	34
6	Integration Issues	36
6.1	Integration and Interfacing to existing local authority systems.....	36
6.2	Methods of Integration / Interfacing.....	37
6.3	Integration to future systems	37
7	Glossary of Terms	38

1 Management Summary

1.1 Introduction

'Herefordshire Connects' is the Herefordshire Council's strategic transformation project. The programme will enable the Council to improve delivery of service, increase efficiency and make better use of scarce resources. This in turn will enable the Council to address the recommendations from the Joint Area and Corporate Assessment reviews, to improve ratings by 2008 and become an excellent authority. Substantial investment will be required in both staff and support systems in order to revolutionise service delivery.

Achieving the desired improvements is a significant challenge for the Council, especially when there is a very limited budget, limited integration of current processes and systems and an insufficiently integrated approach to managing performance. In response to this challenge, a 12-week cross-council strategic review was launched in January 2006, which set out to define a 5-year improvement programme.

The review recommended an integrated programme of change across the Council, structured around 3 business cases and supported by an integrated IT solution. The 3 business cases encompass the following:

- **Integrated Customer Services** – a simple, multi-channel way of interacting with customers; with an electronic record and document management solution to ensure that the right information is immediately available.
- **Integrated Support Services** – an integrated capability covering finance, procurement, HR and asset management; ensuring data is only entered once and timely availability of accurate information.
- **Corporate Performance Management** – a cross-council Corporate Performance Management Framework, linking the planning of budgets, other resources and activities to the achievement of specified outputs and outcomes including Performance Indicators for different levels of the Authority.

This is a significant overall transformation programme, which will include business case management, funding, prioritisation, programme management, change leadership, governance, creation of capacity and funding.

A key consideration for the achievement of the Herefordshire Connects vision is the use of enabling technologies. In parallel to the review, work has been ongoing on the underlying Corporate ICT Strategy. This will ensure that the ICT Services department is in the best possible position to fully support the successful delivery of the transformation programme.

1.2 Scope of these requirements

The transformation programme covers the following main themes, with some elements of Schools and Strategic and Business Partners initially out of scope:

- 1.2.1 Electronic Social Care Record (ESCR) to include One Client, One Record
- 1.2.2 Electronic Document & Records Management Solution (including Workflow) (EDRMS)
- 1.2.3 One Customer, One Record
- 1.2.4 HR/Payroll/Self Service
- 1.2.5 Training/e-Learning
- 1.2.6 Flexible/Remote/Mobile/Smarter working
- 1.2.7 Integrated Financial Management
- 1.2.8 Procurement
- 1.2.9 Asset Management
- 1.2.10 Performance Management

2 Generic requirements

A number of the requirements are generic rather than being specific to the various areas documented in Section 3. This section sets out to cover these generic requirements.

2.1 Customer Access Channels

Herefordshire Council offer a number of methods through which customers can interact with the Council staff. Any solution implemented should support all of these interactive methods, including but not limited to:

- 2.1.1 Face to face contact e.g. via info-shops – the Council's "first stop shops"
- 2.1.2 Telephone e.g. Info by Phone – the Council's central telephone number
- 2.1.3 Web site (via personal computers, kiosks etc) through web based technologies, including websites and digital television, in multi-lingual formats.
- 2.1.4 Email
- 2.1.5 Written mail
- 2.1.6 Fax
- 2.1.7 Mobile devices (Short Message System (SMS), Personal Digital Assistant (PDAs), Tablet PCs etc)

2.2 External Access

2.2.1 Customers/Partners Internet Access

Any solution should have the capability of allowing customers or their nominated approved representative to log on using a single ID, in a secure environment. This will allow them access to an array of self-service and assisted service functions, together with access to information pertaining to that particular customer. This would need to be maskable to ensure there are no breaches in confidentiality. The solution should allow for information to be accessed and collected in a number of foreign languages.

2.2.2 Users Internet Access

Staff working from home will require external Internet access to the solution to pick up details of work schedules, report work completed, report work uncompleted, access information etc.

2.2.3 Access from Mobile Devices

Staff will require external access to the solution via a number of routes such as PDAs, mobile phones, SMS & General Packet Radio Service, to pick up details of work schedules, report work completed, report work uncompleted, access information etc.

2.3 Usability

The users must be satisfied with the usability of any solution. These usability requirements include:

- 2.3.1 Integration with the Council's other systems and the systems of key partners. The end user should only enter information once, which should then dynamically update any relevant legacy or partner system.
- 2.3.2 Acceptable response times - exact specification of acceptable response times to be determined in conjunction with end users.
- 2.3.3 There should be easy movement between related areas and it should be intuitively obvious how to achieve what the user wants to do.
- 2.3.4 Context sensitive help and the ability to link to relevant website pages / FAQs in order to access further information.

- 2.3.5 "Smart" searching capabilities. The search engine should be able to recognise the similarity between words and phrases being searched for. For example if the user searches on a street called "Fell View", the search engine should return similar results if no exact match is found e.g. "Fell-View". Searching of spatial data will also be required.
- 2.3.6 Case tracking facility i.e. ability to track and manage when customers (both internal and external) need feedback/resolution on a particular call, and whose responsibility it is to follow up. A simple way of identifying where a case has got to in the process and which path it took is required.
- 2.3.7 The ability to open more than one case at any one time.
- 2.3.8 The ability to have the same case open by multiple users simultaneously, with locking as appropriate.
- 2.3.9 Information should be categorised in a consistent way to enable ease of searching and reporting on data. Categorisation must be in accordance with the e-GMS (e-Government Metadata Standard) or have the ability to use the public sector and local government classification schemes.
- 2.3.10 All screen layouts should be capable of being tailored to an individual's taste (the 'my yahoo' concept) and reflect whether they belong to a community of users. The ability to keep a list of "favourites" is also required.
- 2.3.11 All screen layouts should be intuitive, consistent and uncluttered. They should be menu driven and configurable either by the individual users or by systems administrators.
- 2.3.12 The solution should be capable of operating within a web environment with provision for customer, member and partner access through browser-based portals.
- 2.3.13 The presentation of any data on graphical screens should be based on a web-browser 'look and feel' with the ability to apply corporate branding/styles, have a logical, chronological layout and positioning of key data and the ability to re-sort data easily e.g. by clicking on column headers.
- 2.3.14 The solution must be compliant with the Herefordshire Council Disability Equality Scheme 2006-2009. This sets out the Council's commitment to meeting its obligations under the Disability Discrimination Act 1995 and all its subsequent amendments. It is important that all information is accessible and usable. Accessible information means that people with disabilities and people using access technologies such as speech devices and readers can use it in line with Government best practice.
- 2.3.15 Web design and content must be W3C and AAA compliant.
- 2.3.16 Address input and matching via the corporate (Oracle) BS7666 database

2.4 System Administration

- 2.4.1 It is envisaged that the solution will be controlled by a System Administrators (SA) function and that the SAs will allocate user accounts and initial passwords.
- 2.4.2 In addition it is envisaged that the SAs will delegate certain roles to appropriate users enabling them to manage defined areas of the solution, for example, create / edit records, delegate queries and take over queries.
- 2.4.3 The SAs and other designated staff should have the ability to maintain processes and hierarchies within the solution.
- 2.4.4 Suppliers should recommend what the role of the SA within the local authority should be and what resources will be needed.
- 2.4.5 A full audit trail must be available for all System Administrator changes as for all other users.

2.5 User Authentication and Access control

User profiling and restricted access will be a key requirement of the solution. All access (other than access to publicly available information via the web site), whether accessed internally or remotely, will have to be password protected and fully configurable for a number of different security levels in accordance with staff responsibilities and roles.

2.5.1 Different security levels would include a minimum of:

- 2.5.1.1 System Administrator
- 2.5.1.2 Managers at various levels
- 2.5.1.3 Team Leaders
- 2.5.1.4 Front Office Staff
- 2.5.1.5 Back Office Professionals
- 2.5.1.6 Team Members
- 2.5.1.7 Partner Organisations

2.5.2 The solution should provide an appropriate level of identification, authentication and access control processes according to role, responsibility and function. It should also incorporate methods to ensure that various levels of access can be specified.

2.5.3 Regular password changes should be automatically enforced at intervals to be defined by the System Administrator. Re-setting of passwords will be handled by the ICT Help Desk function.

2.5.4 All passwords must be encrypted and meet the Council's standard password protocols.

2.5.5 The Council may have a requirement to implement the use of 'SMART' swipe cards as an alternative security method.

2.6 Case Management

At every relevant contact the history of previous contacts with the customer will be accessed and subsequently updated with the current transaction. This will enable a single customer contact profile to be maintained. This contact history will be held in a central customer relationship management system.

Case Management should enable:

- 2.6.1 Serial contacts without the need for repetitive information being requested and recorded or separate databases being maintained
- 2.6.2 Multiple departments and partners to meet needs for the same contact
- 2.6.3 A smooth handover to a specialist without the enquiry being repeated
- 2.6.4 The monitoring and tracking of cases at all points in the process
- 2.6.5 The provision of alerts if deadlines are missed
- 2.6.6 The provision of escalation routes to an appropriate manager or external bodies e.g. Ombudsman.
- 2.6.7 The monitoring and updating (based on access criteria) of the progress of cases
- 2.6.8 The ability to use custom and Government prescribed classification of cases, for example, classification by Local Government Classification scheme (LGCS), Integrated Public Sector Vocabulary (IPSV), Local Government Service List (LGSL) and Local Government Interaction List (LGIL)
- 2.6.9 The flexibility to be able to maintain classification entries in line with future versions of controlled lists.

2.7 Programme and Project Management

Herefordshire Council is responsible for the initiation, development and implementation of a large number of programmes and projects spanning the entire organisation. These cover a wide range of activities from accommodation moves, new construction builds, ICT implementations through to business change programmes.

This function is provided by the Corporate Programmes service whose focus is on working with the organisation to ensure that the project portfolio is aligned to the priorities of the Council and adheres to recognised guidelines, policies, standards, and legislative and funding requirements. This helps to ensure that the Council is better able to manage the risks associated with the project portfolio and that proper business justification cases and measures are in place which detail the efficiency gains anticipated, delivering projects to time, quality and budget.

A standard set of project management tools and methods, that include both Prince 2 and a project-planning tool, are used together with appropriate document templates. The aim is to be a 'Centre of Excellence' on Programme & Project Management for the Council – developing and applying good practise, project management expertise, appropriate tool sets and supporting methods.

The solution should provide functionality that links business case development, through project initiation, project implementation, project closure and into final benefits realisation. This would offer Herefordshire Council a full view of all programmes and projects, providing full status reporting and giving the ability to view the entire programme and project portfolio. Functions required would include:

- 2.7.1 Fully integrated workflow capability that tracks projects through the entire project life cycle including business case development. This workflow should fully support the approved Herefordshire Council Governance Model
- 2.7.2 Programme and Project financial management, financial status of projects together with appropriate mechanism for recovering programme and project costs
- 2.7.3 Business case development (including Corporate strategic objectives, prioritisation, balanced score-cards and benefits realisation)
- 2.7.4 Standard documentation and templates, with version control, that are stored in a collaborative environment with applicable security model, for example templates would include; project mandate, project brief, project initiation document, exception report, stage-end report, issue and risk register, lessons learned report, quality plan and project closure report
- 2.7.5 Project scheduling, planning and progress management, incorporating; resource management and planning
- 2.7.6 Web-based views of portfolio and project performance, together with portfolio analysis and modelling
- 2.7.7 Customisation and integration with line of business systems such as HR, EDRMS, Finance, etc
- 2.7.8 Business Training on the recommended products with specific reference to Prince2 and Managing Successful Programmes

2.8 Workflow Capabilities

Any solution must provide fully integrated workflow functionality. This will enable the Council to optimise and automate business processes. It should enable the modelling of all processes from information capture, following their flow through the Council and into storage and subsequent retrieval. This will improve the efficiency of the service delivery processes and provide a full transaction history.

The workflow solution should have the capability to:

- 2.8.1 Process internal and external service requests in line with relevant business processes

- 2.8.2 Maintain workflow queues with many views (e.g. - to which work tray the item belongs or which customer the request pertains to)
 - 2.8.3 Automate routing and assignment of work, including skill based routing
 - 2.8.4 Monitor & track service requests or opportunities over time
 - 2.8.5 Enable customers to check the status of their request when desired
 - 2.8.6 Automate escalation and notification, proactively alerting before response targets are breached
 - 2.8.7 Enforce authorisation rules
 - 2.8.8 Move items between work trays
 - 2.8.9 Ensure that response time objectives are met (taking into account working or calendar days as appropriate)
 - 2.8.10 Apply relevant operational policies, procedures, guidelines and caseload management
 - 2.8.11 Enable managers to track individual cases and staff inputs
 - 2.8.12 Link into the EDRMS where documents are involved in the process
 - 2.8.13 Herefordshire Council System Administrator(s) will require the capability to manage configuration, process and rule changes
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2.9 Knowledge and Information Base

- 2.9.1 The solution should provide the ability to create and continually update a knowledge base; either from questions asked by customers/users or based on a particular customer/users previous enquiries (open or closed). The solution should enable users to provide readily available answers, supported by knowledge libraries or scripts, and so be able to close the loop on problem resolution and service delivery.
 - 2.9.2 The system should have the ability to provide a search and retrieve facility both of the knowledge base and the information library so as to provide information and answers to FAQs. It is envisaged that the search facility will be available using an A – Z search function that uses natural language input and can prioritise the results to give 'best matches'.
 - 2.9.3 The system should either hold or provide access to an encyclopaedia of all local authority information, processes and policies. Access to this encyclopaedia of information should be made available to all users of the system.
 - 2.9.4 The system should provide built-in communications functionality that will enable users to send information to customers immediately via email, fax, or automated correspondence and fulfilment.
 - 2.9.5 The system should provide access gateway links to all local authority and Central Government information sources.
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2.10 Management Information and Reporting Capabilities

The solution should provide powerful reporting capabilities to enable performance information to be shared quickly and conveniently with various levels of management across the Directorates and wider organisation. Each manager should have available a regularly updated set of core data which can be displayed in a variety of formats e.g. graphs and charts, Performance Prism, management cockpits. The solution will be sufficiently flexible to allow managers with administrative support to set up and modify their own screens, within agreed permissions.

Users will be able to see and track their own caseload and managers will be able to see aggregated data.

Reporting should allow the interrogation of any data held within the solution. It is likely to include demographic and spatial views of data, together with trend analysis for management purposes.

The supplier should list the catalogue of standard reports supplied with the application and details of the tool(s) provided.

The local authority should be able to customise both those supplied and its own reports.

The report types include (but are not limited to):

- 2.10.1 Management and financial reports
- 2.10.2 Trend analysis reports
- 2.10.3 Operational reports such as caseload management
- 2.10.4 Performance management reports
- 2.10.5 Government reporting, including BVPIs
- 2.10.6 Exception and risk reporting
- 2.10.7 Security and audit reporting (including random sampling)
- 2.10.8 The ESCR requires calculation of the unit cost of care packages and to enable users to quickly identify high unit costs and drill down to find out how the cost is made up. This will require tight integration with finance information.
- 2.10.9 The ability to track the full cost of service provision for each customer e.g. the Children and Young People Directorate requires the ability to track the cost of provision for each child.
- 2.10.10 Ad hoc reports using flexible reporting criteria
- 2.10.11 Industry standard reporting tools to be available
- 2.10.12 In line with the mandatory requirement of the e-GMS, it must enable the addition of metadata to all reports.
- 2.10.13 Support for complex queries across large quantities of data
- 2.10.14 Service Level Agreement reporting (internal and external), including performance and activity reporting.

2.11 Service Level Agreements (internal)

- 2.11.1 The solution should provide the ability for management to define targets times / dates for completion of work items, and be able to monitor progress using visual aids such as 'traffic light indicators'.
- 2.11.2 The solution should provide the tools to ensure that all of the local authority's targets such as Service Level Agreements (SLA) and Best Value Performance Indicators (BVPI) can be measured and reported on and that missed targets and milestones are highlighted and escalated.
- 2.11.3 The solution should enable the automatic escalation of issues, according to customisable rules; e.g. where an item fails to meet the SLA target for resolution, it is automatically escalated to a higher level.
- 2.11.4 The solution should have processes to record, track and manage formal complaints in line with the local authority's mandatory procedures plus BVPI, Comprehensive Performance Assessment (CPA) requirements and any other relevant internal or external inspection/audit requirements.

2.12 Production of Documents

- 2.12.1 The solution should automate the process of sending correspondence, customer satisfaction surveys, literature, prescribed legal documents etc. to customers. The solution should provide correspondence and fulfilment facilities, integration with desktop applications, pre-built correspondence templates, personal correspondence templates and automatic mail merge capabilities.
- 2.12.2 The solution should enable users to produce letters and documents, which adhere to corporate style standards, as and when requested. For example, confirmation of contacts made, appointment bookings, information supplied or requested. The documents should also be able to be amended for required changes in style.

- 2.12.3 The solution should provide built-in communications functionality that will enable users to send responses to customers immediately using either: email, fax, SMS or automated correspondence and fulfilment.
- 2.12.4 The Supplier should provide details of integration between the proposed solution and the local authority's desktop software applications (see sections 5.3 & 6.0 for further details) and the proposed EDRMS.
- 2.12.5 The production of documents must be available to customers in various formats such as foreign languages, large print, Braille, etc.
- 2.12.6 The ability to print a variety of formats including but not limited to Bar Codes, Labels, Maps and outsize print

2.13 Audit trail

- 2.13.1 The solution must provide a full audit trail of every insert, update and delete transaction along with details of whom, when and where.
- 2.13.2 There is a requirement to track who has accessed or attempted to access data, particularly sensitive and highly sensitive data.
- 2.13.3 When a change is made, the name of the user making the change is to be recorded together with the date/time of the change, the details of the change and the reason for information change.
- 2.13.4 All logins and login failures should be recorded.
- 2.13.5 Queries and reports based on audit data should be readily available to designated roles.
- 2.13.6 The solution must have the ability to take snapshots of data at any given time.
- 2.13.7 Audit should have the ability to mark records as "checked".

2.14 Authentication Protocols

Where external customer access is required to any part of the solution, this should be via any external authentication that the Council wishes to implement. The Council plans to use two-factor authentication for any access to the domain from any remote location.

2.15 Diary Management / Booking Appointments

The solution must be fully integrated with the Council's electronic diary management system and provide functionality for the following:

- 2.15.1 Any task that involves time management should be automatically reflected in the users diary. e.g. booking leave, training, meeting attendance etc
- 2.15.2 Users or customers should be able to book appointments on-line with local authority sections (e.g. Planning) or supported agencies (e.g. Citizens Advice Bureaux)
- 2.15.3 Once an appointment has been made, the solution should enable the customer to be informed automatically via the stated preferred contact route.
- 2.15.4 The solution should ensure that any changes to an appointment time are automatically notified to the customer immediately, via the stated preferred contact route.
- 2.15.5 The solution should automatically track events and flag up missed deadlines and appointments.

2.16 Route Planning

The solution must provide route planning functionality linked with the GIS system and corporately available. Some examples of its use could include (but are not limited to):

- 2.16.1 Schools pupil transport
- 2.16.2 Asset Maintenance routes
- 2.16.3 Social care visits
- 2.16.4 Subsidised public transport routes and planning
- 2.16.5 Planning / Building Control officer visits
- 2.16.6 Benefits / Fraud Officer visits

3 Area specific requirements

Herefordshire Council currently has a high number of legacy systems that do not interact with each other. Data is duplicated in many systems and information cannot be easily shared across the Council. A fully integrated IT solution is required in order to achieve greater efficiencies and effectiveness in service delivery. Listed below are the specific requirements for the various areas the solution will be required to deliver. Generic features are listed in Section 2.

3.1 Performance Management

The Performance Management solution should enable Herefordshire Council to implement and provide tools to facilitate much more effective challenge, bringing greater rigour to the setting of targets and the identification of milestones, actions, risks and resources, in order to drive up performance.

3.1.1 The solution should, as a minimum:

3.1.1.1 Enable Members & Senior Managers to develop strategies and targets to drive up performance

3.1.1.2 Embed the ongoing drive for Value for Money across the organisation

3.1.1.3 Provide quality and timely management information directly linked to planning processes to enable good decision making at all levels of the organisation

3.1.1.4 Remove the duplication and errors that presently occur in performance measurement, thus reducing staff time needed to input and check information.

3.1.2 The Performance Management solution will need to interact with all of the information stores across the Council, such as EDRMS, ESCR, Web Analytics and HR.

3.1.3 Functionality should include:

3.1.3.1 Support for the collection, monitoring and reporting of performance information at various levels, including (but not limited to):

3.1.3.2 Corporate

3.1.3.3 Service

3.1.3.4 Individual

3.1.3.5 Partnerships

3.1.3.6 Schools

3.1.4 Facility to report any Performance Indicator (PI) against all historical data held which is relevant to that particular indicator. This should include the ability to map the progress of a particular indicator and extrapolate trends into the future.

3.1.5 Support for the collection of cost based Performance Indicators to aid resource management and produce productivity PIs.

3.1.6 Customisable menu of standard reports (i.e. each directorate should be able to standardise the menu screen to fit their reporting requirements).

3.1.7 Link into and support the Risk Management Framework (e.g. report on failure to meet specific targets).

- 3.1.8 Ability for contextual and / or qualitative data to be reported alongside directional, quantitative performance indicators.
- 3.1.9 Capability to hold, and report on, the entire catalogue of PIs used by the Council (including all Best Value PIs (BVPIs), Local PIs and Management PIs).
- 3.1.10 Facility for users with designated levels of access to write new reports with an intuitive report-writing tool.
- 3.1.11 Presentation of PI data graphically and geographically, with charts / graphs / tables etc. These should be fully customisable by the user.
- 3.1.12 Facility to produce different reports for different groups and on different reporting timescales. Also provide powerful reporting capabilities to enable performance information to be shared quickly and conveniently with various levels of management across the Directorates and wider organisation including partnerships.
- 3.1.13 The solution should be sufficiently flexible to allow managers with administrative support to set up and modify their own screens, within agreed permission.
- 3.1.14 Integrated reporting of BVPIs, PAF, Local PIs, LAA and LPSAs. The solution should be able to define which of the above indicators are included on a particular report.
- 3.1.15 Support for exception reporting, i.e. if a PI is significantly above or below target this should be highlighted to the responsible user / performance coordinator.
- 3.1.16 A clearly defined escalation process in case of missed / failing targets. This should “push” the information through to the relevant user either via the tool’s interface or via an email alert. Provide alerts when events are due and overdue. These alerts should be escalated up through the management structure, if they are not actioned. Additionally, the solution will allow the rules that trigger these alerts and the escalation procedure to be created and maintained by the systems administrator.
- 3.1.17 The capacity to select a sample of PIs at random, in order for internal audit to check the accuracy of the data.
 - 3.1.17.1 In relation to EDRMS the audit report must contain, as a minimum, classes, records, files, users, volumes, time periods, security categories, user groups and other metadata.
- 3.1.18 Minimal amount of manipulation required to be done to the data reported on - i.e. there should be minimal spreadsheet manipulation / manual intervention in the production of reports.
- 3.1.19 Facility to easily change the standards of particular PIs (e.g. to change what figure a PI must be at to be considered “on target”).
- 3.1.20 Reporting capability on all Performance Indicators in real time.
- 3.1.21 Work from an “input once / update many” platform, where updating a particular PI in the solution will dynamically update it in all subsequent reports.
- 3.1.22 The ability to report on a wide range of variables including:
 - 3.1.22.1 Numerical figures (cash, pure numbers etc)
 - 3.1.22.2 Text based narrative
 - 3.1.22.3 Dates (including being able to calculate differences between 2 dates – taking into account working or calendar days as appropriate)
 - 3.1.22.4 Percentages
- 3.1.23 Provision of a web-enabled Service Planning Framework, including guidance notes.
- 3.1.24 A workflow facility to enable allocation and application of relevant operational policies, procedures and guidelines, plus caseload management. Managers should be able to track individual cases and staff inputs.

- 3.1.25 Assign owners to objectives, projects and indicators.
- 3.1.26 Allow for the dynamic classification of performance data, including categorising by theme and keyword.
- 3.1.27 Able to hold national, nearest neighbour or benchmarking group performance data.
- 3.1.28 Cause and effect modelling capabilities, providing tools to facilitate effective challenge.
- 3.1.29 Able to use geo-coded data for reporting on areas/ward basis.
- 3.1.30 Ability to cluster targets and PIs in reports.
- 3.1.31 Ability to link future performance objectives to resource demands.

3.2 Human Resources

Currently Herefordshire Council has many disparate systems that take care of the Human Resources (HR) requirements. The HR solution is to integrate with, at least, Payroll, Finance, Asset Management, Procurement, Health & Safety, Training and Performance Management. As part of an integrated solution the following functionality is considered as being essential:

- 3.2.1 Analysis of workforce and skills gaps allowing comparison of the two to highlight areas of strength and weakness to enable workforce planning and other strategic management activities
- 3.2.2 Appropriate level of confidentiality of data is maintained, including in any reports produced
- 3.2.3 Skills identification and competency assessment to inform career and succession planning/aspiring manager development
- 3.2.4 Support creation, maintenance and management of generic job structures, job roles and career pathways for progression routes in all jobs
- 3.2.5 The solution must be capable of supporting Equal Pay Reviews to eliminate any unfair, unjust or unlawful practices that impact on pay in line with Equal Opportunities best practice recommendations
- 3.2.6 Diversity Recording
- 3.2.7 The solution must enable management of Directorate Establishments in compliance with local governance
- 3.2.8 Electronic appraisal management with clear links to training and development
- 3.2.9 180/360 degree competency appraisal functionality
- 3.2.10 Emergency & Business Continuity Planning - identification of key employees along with their contact details and competencies
- 3.2.11 Employee and manager self-service, e.g. employees viewing/updating their own data (such as leave requisition, address changes, etc.) and managers updating their staff records (such as sickness absences, training requirements, staff induction, leavers, etc.)
- 3.2.12 Employee time recording and flexi-time recording
- 3.2.13 Document production and management
- 3.2.14 Integration with financial information in order to enable the budgeting and financial planning processes.
- 3.2.15 Ability to support structural change together with automatic production of organisational charts and financial impact information
- 3.2.16 The solution must provide extensive user maintained parameters in order for Herefordshire Council to control information, input and output, without supplier support
- 3.2.17 Diary function which can be automatically updated with relevant information and carry out flagged tasks if required, as well as automatic production of reports as indicated by the user
- 3.2.18 Automatic upgrades supplied in the light of any legislative changes

- 3.2.19 Proactive management through workflow – prompts for action following trigger points being activated e.g. for probation periods, sickness absence, maternity, appraisal and policy compliance areas
- 3.2.20 Online decentralised sickness absence recording linked to payroll and employee record
- 3.2.21 Sickness absence, to include phased returns, recorded in days/hours lost against multiple posts to enable BVPI 12 reporting
- 3.2.22 Online decentralised accident/incident recording with automatic production of F2508
- 3.2.23 Automatic electronic archive/retrieval facility of personnel records in accordance with pre-defined retention schedules.

3.3 Recruitment

The recruitment of staff is vital to the Council and data collected here should be passed directly into the integrated HR solution. This function covers external new appointees and existing staff transferring internally. Listed here are some of the requirements:

- 3.3.1 On-line recruitment; electronic administration and tracking of applicants through all stages of the recruitment process including diversity monitoring
- 3.3.2 Production of job packs, letters and documents at all stages of the recruitment process including contracts of employment
- 3.3.3 Competency matching of applicants and employees against post requirements and skills, reference and CRB checks
- 3.3.4 Statistical analysis for all staff of time to recruit, cost to recruit, advertising agency usage
- 3.3.5 Production of all types of identification cards and proactive management, e.g. expiry dates
- 3.3.6 Standard and user-defined reporting capability
- 3.3.7 Pool recruitment management for existing staff and talent pool of internal/external candidates who have registered an interest in working in specific roles
- 3.3.8 Job profile bank and maintenance
- 3.3.9 Flexibility to allow changes to be made in-house without supplier reliance
- 3.3.10 Links to key regional and partner web sites e.g. Job Centre Plus, Employers Organisation, and regional portal. Data needs to be exportable via XML for take up by external web sites.
- 3.3.11 Automatic archive/retrieval facility, with proactive prompts to ensure retention policy compliance
- 3.3.12 Automatic notification of new vacancies to registered candidates via methods such as SMS, email and automatic letter production

3.4 Integrated Training and E-Learning

Herefordshire Council is committed to achieve the “Investors in People” award by October 2007. Both the training and administration around training need to be carried out in a smooth and efficient way. Listed below are the essential elements that are required in the Training and E-Learning solution that should be integrated with the HR solution:

- 3.4.1 Automated training request processes validated against individual training requirements and authorised through workflow as necessary. Automatic update of employee training history and marked as completed
- 3.4.2 Analysis of training needs and plans linked to employee appraisal process
- 3.4.3 Training planning based on current and future resource requirements
- 3.4.4 Links to training budgets/financial information

- 3.4.5 Ability to hold training records for outside organisations – Private, Independent, Voluntary Sector and other external candidates, with the ability for the organisations to access these records
- 3.4.6 On-line catalogue based course bookings, including details of costs and content
- 3.4.7 Course completion/course success analysis, course administration and progress tracking, modular qualifications with stage progress such as NVQs and those with specific life expectancy and deadlines
- 3.4.8 Diversity monitoring by individual and training course, including barriers to learning and such needs that may not be deemed as a specific disability
- 3.4.9 Production of all course correspondence
- 3.4.10 Ability to hold all information on qualifications/professional membership, fitness to practice – recording and flag-up facility
- 3.4.11 Self Service E-Learning to enhance classroom based training
- 3.4.12 Ability to record, monitor and evaluate who has accessed or completed E-Learning
- 3.4.13 E-enabled employee and manager induction
- 3.4.14 Easily accessible management information
- 3.4.15 Standard and user-defined reporting capability
- 3.4.16 Flexibility to allow changes to be made in-house without supplier reliance

3.5 Integrated Financial Management

The finance function is one of the core underpinning functions that the local authority undertakes. The requirement for a fully integrated finance / payroll / HR / performance management / asset management / ESCR solution is paramount. Integration with HR / Payroll is required to properly enable staff costs planning. The finance and budgeting solution needs to be able to provide accurate and timely financial information in an efficient manner linking budget planning to service planning. The minimum financial requirements for the solution are:

3.5.1 General Ledger

The General Ledger should be the central store and source of overall financial data. All transactions that take place within the solution and those imported from external systems should be reflected in the General Ledger. The solution should therefore be used to produce financial and management reports and enquiries and support United Kingdom Generally Accepted Accounting Practices (UKGAAP) and Statement of Recommended Practices (SORPs).

Functionality must include (but is not limited to):

- 3.5.1.1 Journal entry and posting with authorisation levels and notes facility
- 3.5.1.2 Auto numbering of Journals
- 3.5.1.3 Inter-department recharging with authorisation controls
- 3.5.1.4 Financial management information enquiries
- 3.5.1.5 Budgeting including pooled budgets such as section 31 arrangements
- 3.5.1.6 Reporting
- 3.5.1.7 Bank Reconciliation
- 3.5.1.8 Cash Receipting

3.5.1.9 VAT Reconciliation Reports

3.5.1.10 Chart of Accounts set up and maintenance, including project accounting, job costing and multiple hierarchical structures

3.5.1.11 Integration with time management function for re-charging purposes

3.5.1.12 Standing data and ledger controls

3.5.1.13 Detailed cashflow analysis

3.5.1.14 Historical and projected analysis for Prudential Borrowing

3.5.1.15 Meet the “Whole of Government Accounts” agenda

3.5.2 Interfaces

The solution should have an area designated to the management of interfaces both incoming and outgoing from and to external systems. This facility would also validate data to ensure it's completeness and accuracy before it's posted into the various ledgers and functional areas. This feature would also facilitate the bulk loading of large ad hoc journals/budget journals and invoices, using the same validation checks.

3.5.3 Budgeting

To cater for a range of budgets and forecasts to be set up alongside accounts and accounting periods.

Functionality would include:

3.5.3.1 Budget creation

3.5.3.2 Budget Journal entry and posting

3.5.3.3 Reporting

3.5.3.4 Budget re-profiling

3.5.3.5 User defined Budget Profiles

3.5.3.6 Multi-budget options

3.5.3.7 Balancing controls

3.5.3.8 Capital budgeting with matching against funding, with the flexibility to manage different funding arrangements (including section 106 agreements and LAA agreements) and associated reporting requirements

3.5.3.9 Individualised budgets e.g. budgeting for each Learning Disability client

3.5.3.10 Ability to “model” budgets in a test environment to help evaluate the impact of changes (such as legislative or demand)

3.5.4 Purchase Order Processing and Commitment Accounting

To provide appropriate facilities to efficiently control and account for the ordering, receipt and payment of goods and services, with full commitment accounting.

There must be a variety of financial controls available to ensure that the budgets are not exceeded when a purchase order is raised and confirmed, and Commitment entries can be reflected within the General Ledger if required.

Functionality must include (but is not limited to):

- 3.5.4.1 Auto numbering of order, receipt and invoice / credit note entries
- 3.5.4.2 Orders to be produced in electronic or paper format as appropriate
- 3.5.4.3 The proper treatment of VAT including provision of VAT partial exemption
- 3.5.4.4 Refreshment of commitments
- 3.5.4.5 Multiple and singular invoice matching
- 3.5.4.6 Multiple product set up with attached coding and supplier data
- 3.5.4.7 Reporting
- 3.5.4.8 Standing data and controls
- 3.5.4.9 Ability to manage order variations e.g. when costs exceed original estimate or specification changes

3.5.5 Requisitioning

- 3.5.5.1 Requisitioning should be fully integrated with the Purchase Order Processing.
- 3.5.5.2 Transactions entered via Requisitioning are reflected in the Purchase Order Process and may be reflected as commitments in the General Ledger, if required.

3.5.6 Accounts Payable (Creditors)

- 3.5.6.1 To record Invoices, Credit Notes, Debit Notes, and Sundry Transactions received from Suppliers.
- 3.5.6.2 Make the corresponding payments when they are due, with an override facility to cater for year-end and to maximise any early payment discounts.
- 3.5.6.3 Functionality must include (but is not limited to):
 - 3.5.6.3.1 Auto numbering of Invoice and Credit Note entries
 - 3.5.6.3.2 Receipt of electronic invoices
 - 3.5.6.3.3 The proper treatment of VAT
 - 3.5.6.3.4 Compliance with Her Majesty's Revenue and Customs (HMRC) existing Construction Industry Scheme and be in a state of readiness for the forthcoming scheme from April 2007
 - 3.5.6.3.5 Appropriate arrangements for dealing with Purchase card arrangements
 - 3.5.6.3.6 Supplier record maintenance and enquiry

- 3.5.6.3.7 Factored payments
- 3.5.6.3.8 Payments – cheque, BACS, Direct Debit, Standing Order & CHAPS
- 3.5.6.3.9 Reporting
- 3.5.6.3.10 Standing data and controls
- 3.5.6.3.11 Payment of Foster Carers, Supported Living, Direct Payments and Supporting People through integration with ESCR

3.5.7 Accounts Receivable (Debtors)

- 3.5.7.1 To create and print invoices and credits, receive payments, and to manage debts.
- 3.5.7.2 Functionality must include (but is not limited to):
 - 3.5.7.2.1 Auto numbering of Invoice and Credit Note entries
 - 3.5.7.2.2 Production of Invoices meeting Council's stationery requirements
 - 3.5.7.2.3 The proper treatment of VAT
 - 3.5.7.2.4 Customer record maintenance and enquiry
 - 3.5.7.2.5 Receipting of all current payment methods
 - 3.5.7.2.6 Credit control with varying reminder letter severity
 - 3.5.7.2.7 Multiple payment methods for customers, including authorisation and collection of Direct Debits
 - 3.5.7.2.8 Reporting
 - 3.5.7.2.9 Standing data and controls
 - 3.5.7.2.10 Raise invoices in line with Fairer Charging through integration with the ESCR

3.5.8 Recurring Billing/Payments

To set up billing and payment schedules for regular amounts, to charge customers, or pay suppliers, for a service over predefined periods and frequencies. To be fully integrated with accounts receivable and accounts payable.

3.5.9 System Management

The solution should provide a System Management function, which would deal with the activities of managing a system.

Some of these activities can be categorised as:

- 3.5.9.1 Routine maintenance activities
- 3.5.9.2 Provision of certain departmental/corporate financial reports

3.5.9.3 Ledger period maintenance

3.5.9.4 Ledger controls

3.5.9.5 Year end routines

3.5.10 All of the functionality quoted above must be fully integrated and self-balancing

3.5.11 All documents in and out of the solution need to be recorded in the EDRMS

3.5.12 The supplier/customer records should reflect the principle of 'one customer, one record'

3.6 Payroll

In addition to employees of the Council, the Payroll Section also provides a bureau service for two other organisations. The solution would need to be able to address the following as a minimum –

3.6.1 Full integration with HR information

3.6.2 Multiple posts per employee

3.6.3 Multiple occupational sick pay schemes (including phased return to work)

3.6.4 Multiple occupational maternity, paternity and adoption pay as well as the interaction with the relevant statutory payments, all of which should be calculated without recourse to manual calculations

3.6.5 Each of the occupational elements will apply per post not per employee, unlike the statutory ones, and occupational offsets should be carried out accordingly

3.6.6 Multiple pension schemes in existence. Additionally the ability to be able to produce pension estimates (Local Government and Teaching)

3.6.7 The solution should be able to process redundancy calculation including statutory and local discretionary redundancy

3.6.8 The solution should be fully compliant with HMRC e-filing requirements and support multiple payment methods, specifically cheque and BACS

3.6.9 Automated recalculation of backdated pay awards, automated recalculation of retrospective entry/exit from pension schemes and associated NI adjustments and automatic apportionment for part month's pay for leavers, starters and transferring employees. Additionally, automated calculation of backdated hour and grade changes.

3.6.10 Expenses paid via payroll, especially mileage allowances

3.6.11 The Council supports the 'Pennies from Heaven' scheme, whereby contributors choose to donate the odd pence from their net pay to charity. The solution must allow us to continue that support and allow for any additional schemes.

3.6.12 The solution needs to allow employees to submit mileage, timesheets, expense claims etc, through a self-service portal that would use workflow for authorisation and direct feed of data into the solution

3.6.13 All incoming and outgoing documents will need to be recorded in the EDRMS

3.6.14 The solution should be capable of producing e-payslips as well as paper copies if required

3.6.15 There should be the facility to automatically and electronically notify Worcestershire County Council's Pension system (AXIS Heyward) of starters, leavers and other changes

3.6.16 The ability to take into account variations in hours and proportion of year working

3.7 Procurement

The Council has established a dedicated Procurement and Efficiency Review post to provide strategic advice and is setting up a dedicated centralised procurement team to take on the responsibility of placing orders and placing and monitoring contracts. The essential elements of the fully integrated procurement solution are:

- 3.7.1 Support e-procurement with up-to-date electronic catalogues, aggregation of orders, supported by workflow and e-authorisation
- 3.7.2 Electronic goods receipting, where appropriate, with alerts for items not flagged as being received after the expected delivery date
- 3.7.3 Enabled for sharing with other public bodies
- 3.7.4 Streamlined so that, for many common items, purchasing becomes a matter of a few clicks of the mouse with no paper handling
- 3.7.5 Clear accountabilities for managing the spend, category by category (e.g. maintenance, food, social care, travel, etc.)
- 3.7.6 All incoming and outgoing documents will need to be recorded in the EDRMS
- 3.7.7 Support the whole procurement process from sourcing to payment and be integral to the finance, asset management and other functional areas
- 3.7.8 Encompass the entire procurement portfolio including, but not limited to, goods, third party service providers, consultancy, engineering construction works (including activity schedules and schedules of rates), rents, leases and temp agencies, for both ad hoc and ongoing contracts, covering a variety of payment mechanisms
- 3.7.9 Be as easy for a general user to operate as a common Internet site such as Amazon
- 3.7.10 Fully automate the requisition-to-reconciliation process - and reduce the paper piles and workflow bottlenecks
- 3.7.11 Create electronic requisitions and route them for approval using workflow, based on line management and financial authorisation levels with escalation on non-activity after a user-defined period or non-availability of authoriser
- 3.7.12 Complete audit trail of all purchasing-related activity
- 3.7.13 Enable analysis of spend data, purchasing trends and evaluation of suppliers to identify volume purchasing opportunities and gain leverage in negotiations
- 3.7.14 Ensure compliance with internal purchasing policies as well as contracted suppliers and terms to eliminate "maverick spending"
- 3.7.15 Enable supplier bidding events with online RFx tools to drive lower costs
- 3.7.16 Purchase Orders to be sent by fax, e-mail, electronically or post to suppliers
- 3.7.17 Reconcile the invoice to the goods receipt notice to the purchase order to achieve a 3-way match
- 3.7.18 Support e-invoicing from suitable suppliers
- 3.7.19 Hold local and easily downloaded electronic catalogues and connect electronically to suppliers' online catalogues
- 3.7.20 Incorporate multiple catalogues
- 3.7.21 Automatically update asset management data with assets that are purchased and received and building works that are undertaken
- 3.7.22 Full commitment accounting for amounts outstanding on requisitions, orders and invoices
- 3.7.23 Budgets should be checked and be able to be viewed as part of the requisition workflow process
- 3.7.24 Automatic prompts should be generated if proposed spend would make budget exceed user defined tolerances

- 3.7.25 Managing all aspects of awarded contracts, including but not limited to, maintenance and temporary staff contracts, utility bills and other repetitive services
- 3.7.26 Enter schedule of forecast payments
- 3.7.27 Enter ad hoc invoices against contracts
- 3.7.28 Report on upcoming contract renewals
- 3.7.29 Detailed stock records with transaction history
- 3.7.30 Automatic stock replenishment
- 3.7.31 Multiple stores in multiple locations
- 3.7.32 Perpetual inventory and stock-take facility
- 3.7.33 Full reporting and stock usage analysis
- 3.7.34 Comprehensive standard reports
- 3.7.35 Data drill down facility
- 3.7.36 User configurable automated report distribution
- 3.7.37 Integrate with 3rd party reporting and data mining tools
- 3.7.38 Easy to use browser-based screens
- 3.7.39 User definable requisition types
- 3.7.40 Free form data entry or select from catalogues
- 3.7.41 Allow file attachments such as scanned documents, emails, images to aid the approval process
- 3.7.42 Create purchase order directly or compile from multiple requisitions
- 3.7.43 Set up call-off or blanket orders
- 3.7.44 Allow users to be able to both reject delivery of items and record comments
- 3.7.45 Goods receipting to be linked to certain suppliers as it would not be required for specific suppliers such as utilities, etc
- 3.7.46 Support multiple addresses for delivery and invoicing etc
- 3.7.47 The ability to cater for procurement undertaken through consortia arrangements
- 3.7.48 Commercially strategic partnership arrangements need to be catered for.
- 3.7.49 The ability to manage the whole contract negotiation lifecycle including supplier scoring and evaluation

3.8 Asset Management

The Property & Asset management teams are responsible for ensuring the Council's property and other assets are managed efficiently and effectively. Additionally, all directorates are responsible for managing the assets within their own service areas. In order to facilitate this, the solution must have the following components:

- 3.8.1 An accurate inventory of all assets including, property, land (including contaminated land), small holdings, highways and transportation, infrastructure, vehicles, computer hardware/software and other high value assets, etc. The ability to give a holistic view of an asset including its history.
- 3.8.2 Financial analysis of holding assets, particularly in terms of calculation and charging of depreciation, recording historical depreciation, recording and reconciling sales proceeds, dealing with insurance claims etc.
- 3.8.3 Integration with Finance, Procurement, HR / Payroll.

- 3.8.4 Full integration with the corporate GIS is essential
- 3.8.5 Links between computer hardware and software licensing
- 3.8.6 Must include various management tools including expenditure profiles, options of works, depreciation optimisation risk management, life-cycle planning, replacement value, options appraisal, etc
- 3.8.7 The ability to hold maintenance schedules with automatic reminders
- 3.8.8 Enable a rolling asset review
- 3.8.9 Condition surveys to include a wide spectrum of methods and classes, such as, mechanical surveys, suitability and sufficiency, Legionella assessments, etc
- 3.8.10 Asbestos register
- 3.8.11 Energy monitoring
- 3.8.12 Accessibility and user audits e.g. road crossings
- 3.8.13 Fire risk assessments
- 3.8.14 Construction Design and Management files
- 3.8.15 Identification, maintenance and monitoring of programmed and unscheduled works, building projects (new build and alterations to existing buildings) and service contracts, raising works orders via tenders or schedule of rates, staff time allocations for internal and external clients.
- 3.8.16 The asset register should automatically reflect the current position of assets under construction.
- 3.8.17 Management of budgets
- 3.8.18 Costing of potential works with associated budget adjustments following approval
- 3.8.19 Analysis of budgetary and maintenance needs for all assets
- 3.8.20 Record of occupancy, ownership, lease details, construction type, layout, deeds, sales, acquisitions, asset valuations and rateable valuations
- 3.8.21 Asset tracking for internal and external allocations
- 3.8.22 Automated internal and external charging
- 3.8.23 Property Terrier functionality
- 3.8.24 Ability to record joint / third party interests or ownership in order to identify private and partner assets
- 3.8.25 Commons register information
- 3.8.26 Public Rights of Way requirements must be catered for
- 3.8.27 Facilities management
- 3.8.28 Room bookings and associated financial charging (internal and external)
- 3.8.29 Links to CAD
- 3.8.30 All incoming and outgoing documents need to be recorded in the EDRMS
- 3.8.31 For Highways asset management, a solution will be required that is compatible with the standard UK Pavement Management System (UKPMS) accreditation and the Corporate GIS.
- 3.8.32 The UKPMS is the national standard for management systems for the assessment of local road network conditions and for the planning of investment and maintenance on paved areas of roads, kerbs, footways and cycle-tracks on local roads within the UK.
- 3.8.33 It is endorsed and promoted by the Roads Board and its use is required by the Government for the production of BVPI on local roads. It is also recommended best practice for local road maintenance linked to current codes of best practice including the code of good practice for maintenance management.

- 3.8.34 The UKPMS Logical Design comprises a wide range of highway maintenance management functionality, including the following:
- 3.8.34.1 Location and referencing of highways, including footways and cycle-tracks
 - 3.8.34.2 Recording of an inventory of maintainable assets within the highway
 - 3.8.34.3 Recording of condition data collected from various visual and machine surveys
 - 3.8.34.4 Projection of future condition based on historic deterioration, and on engineering models of deterioration for given designs, constructions types and pavement life profiles
 - 3.8.34.5 Selection of options and requirements for remedial works
 - 3.8.34.6 Costing of potential works
 - 3.8.34.7 Management of budgets
 - 3.8.34.8 Analysis of budgetary and maintenance needs for highway networks
 - 3.8.34.9 Prioritisation of potential works on a condition basis
 - 3.8.34.10 Prioritisation of potential schemes of work using econometric principles
- 3.8.35 Must be capable of interfacing with various Central Government management systems to meet with statutory requirements for example New Roads and Street Works Act (NRSWA) and Traffic Management Act

3.9 EDRMS / ESCR / One Client, One Record

Herefordshire Council will implement one corporate EDRMS across the Council. The EDRMS will be used by a large number of users and therefore must be easy to use. It is envisaged that a combination of an EDRMS and a Customer Relationship Management (CRM) system will provide the main base for delivering an ESCR solution. Any solution will, therefore, need to fully integrate these components.

The detail below covers the EDRMS specification taking into account the ESCR requirements which, in turn, encompass the “one client, one record” concept.

- 3.9.1 The solution must meet the standard and functional requirements for the EDRMS as defined by The National Archives in their former registration scheme, and the MoReq Specification for EDRMS.
- 3.9.2 The EDRMS must allow users to indicate that selected records are considered to be “vital records”.
- 3.9.3 The EDRMS must provide flexible reporting for the administrator. They must include, at a minimum, the ability to report the following:
 - 3.9.3.1 Numbers of files, volumes and records
 - 3.9.3.2 Transaction statistics for files, volumes, documents and records
 - 3.9.3.3 Activity reports by user
 - 3.9.3.4 Reports on the audit trail
- 3.9.4 For the long-term preservation of digital data, the EDRMS should include features for the automated periodic comparison of copies of information and the replacement of any copy found to be faulty.

- 3.9.5 Support for and compatibility with a tailored classification scheme to define how electronic records will be organised into electronic files, and the relationships between the files.
- 3.9.6 A tracking feature to record the location and change of location of the physical file together with an audit log of who has accessed the file.
- 3.9.7 The EDRMS should not limit the number of levels, classes or files in the classification scheme hierarchy
- 3.9.8 Once the record is captured, all record components, structure and metadata necessary to ascertain the record is authentic shall not be changed.
- 3.9.9 There is a requirement for controlling access using a scheme of security categories and security clearances.
- 3.9.10 The use of automated retention schedules to govern the review, transfer, removal, export or destruction of records from operational systems will be required.
- 3.9.11 Once the review date has been reached, a decision is required as to whether the record is to be retained, transferred to another system, or destroyed.
- 3.9.12 The solution must be capable of being used over a secure connection remotely.
- 3.9.13 The Council may need to move records from their EDRMS to other locations or systems, therefore a secure transfer; export and destruction facility is required.
- 3.9.14 A flexible input facility is required to capture documents received in various formats (including images, video and sound), produced by different authors, which may arrive as single or multiple documents through different communication channels.
- 3.9.15 The solution must be able to accept bulk imported documents and records.
- 3.9.16 There may be a requirement to capture documents which appear to be, or which are, self-modifying.
- 3.9.17 Identifiers must be unique for each occurrence of each entity; the uniqueness must extend across the entire solution.
- 3.9.18 Accessing files and records will require a flexible and broad range of searching, retrieval and rendering functions.
- 3.9.19 The user requires generic viewing facilities that will accommodate displaying, rendering and printing a range of formats.
- 3.9.20 The solution must provide printing facilities, to allow all users to obtain printed copies of records and their metadata, and of other information.
- 3.9.21 The solution must include features for outputting records that cannot be printed to appropriate media.
- 3.9.22 The solution should provide secure redaction techniques
- 3.9.23 A level of internal or partner organisational change must be allowed for in the maintenance and support facilities. It must also provide the Administrator(s) with facilities to support events such as changing number of users, increasing demand on storage capacity, recovery from failure and monitoring errors.
- 3.9.24 The solution must allow SAs to “delete” records to correct user errors (e.g. declaring records in the wrong file) or to meet legal requirements under information legislation, whilst ensuring an effective audit trail is maintained.
- 3.9.25 The solution should be able to register physical files under the same classification scheme as the electronic records, and provide for the management of “hybrid files” of electronic and physical records.
- 3.9.26 There will be a requirement to capture signatures electronically on client documents.
- 3.9.27 There is a requirement to manage and create records that are encrypted.

- 3.9.28 There is a requirement to manage records that bear an electronic watermark or some comparable technological security mechanism.
- 3.9.29 The solution must be able to capture and process sufficient relevant metadata and allow for flexible metadata configuration
- 3.9.30 The solution must be compliant with the latest version of e-GIF
- 3.9.31 The solution must allow for classification of documents against e-GMS taxonomies including but not limited to the latest versions of LGCS, IPSV and additional specialist subject controlled lists such as the Legal Advice Metadata Standard (LAMS), Pupil Level Annual School Census (PLASC)
- 3.9.32 This section lists areas of compliance that are required both in relation to enabling returns and satisfaction of policy requirements. The solution should:
 - 3.9.32.1 Be totally compliant with Department of Health, Department for Education and Skills, Commission for Social Care Inspection (CSCI) and other legal and regulatory requirements. Examples include (but are not exhaustive):
 - 3.9.32.1.1 ESCR
 - 3.9.32.1.2 Caldicott/Information governance ISO27001
 - 3.9.32.1.3 Commission for Social Care Inspection data requests
 - 3.9.32.1.4 Fairer Access to Care Services monitoring
 - 3.9.32.1.5 Integrated Children's System (incorporating LAC (2005) 3)
 - 3.9.32.1.6 Information Sharing Index (ISI)
 - 3.9.32.1.7 Children's Social Services Core Information Requirements
 - 3.9.32.1.8 Children in Need Census
 - 3.9.32.1.9 Common Assessment Framework and e-CAF
 - 3.9.32.1.10 Every Child Matters – Change for Children (Lead Professional arrangements and information sharing)
 - 3.9.32.1.11 Supporting integrated working
 - 3.9.32.1.12 Single Assessment Process for all customers
 - 3.9.32.1.13 Adults 18 & over Social Care Core Information Requirements
- 3.9.33 Enable ready population of required Government and regulatory returns, including but not limited to:
 - 3.9.33.1 Referral Assessment and Packages of Care Return (RAP).
 - 3.9.33.2 PAF indicators
 - 3.9.33.3 Quarterly reporting
 - 3.9.33.4 Delivery and Improvement Statement (DIS) / Children's Annual Performance Assessment Dataset (CAPAD)
 - 3.9.33.5 Supporting people contract monitoring

3.9.33.6 Department of Health and CSCI data requests

3.9.33.7 Fair Access to Care Services monitoring

3.9.33.8 DCLG returns for all Clients.

3.9.34 Enable Clients to view their own case files without breaching confidentiality requirements (i.e. references to other Clients of Herefordshire Council information they are not authorised to view).

3.10 Schools Management

Herefordshire Council currently provides services to over 100 schools across the county. The solution must provide functionality to cover all aspects of day-to-day school management and planning covering the authorities responsibility for schools and pupils. Information required would include (but is not limited to):

3.10.1 Basic school information to manage the School Improvement Service. e.g. school name, address, Headteacher, contact inspector, school improvement partner, notes, school track record, performance targets, exam/key stage results, improvement issues.

3.10.2 Links to individual pupil performance management data, finance data, Ofsted reports, PLASC and pupil projections, links to building condition survey, suitability and sufficiency, etc.

3.10.3 Management and administration of the SEN banded funding process from application, approval, finance including review and monitoring

3.10.4 Management of casework for pupils with special educational needs

3.10.5 Management and administration of the school transport system including route planning, tender management, individual pupil recording, ticketing, costing, forecasting.

3.10.6 Management and administration of the school admission system from initial information, school preferences, decision making, mapping, allocation letters, appeals and timescale management. The ability to conform to the government requirement to enable parents to apply online for school placements. Provision of pupil lists to schools.

3.10.7 Management and administration of Early Years / Childcare including nursery education funding to childcare providers, administration and recording of early years providers places and demand, Children's centres provision, parent bookings for services, appointments service providers etc

3.10.8 Local Management of Schools to include finance arrangements for determining school budgets based on PLASC, budget projections/modelling for multi years and redundancy planning, consistent financial reporting.

3.10.9 Management of pupil exclusions, education otherwise, bullying information, complaints about schools

3.11 Flexible Working, Home Working & Smarter Working

In order to deliver efficiency savings, improved service delivery and staff work/life balance, the Council needs to consider different ways of working. To address these issues, any solution will need to -

3.11.1 Assist with the implementation of the Council's Accommodation Strategy and assist with the realisation of the reduction in accommodation costs.

3.11.2 Comply with Corporate Flexible Working & Home Working Policies.

3.11.3 Assist the Council with planning, developing and running Flexible Working schemes.

3.11.4 Advise and assist with the procurement of relevant technology.

3.11.5 Assist the work of field officers, through supporting mobile working technology, such as PDA, WAP, PC Tablets, etc.

3.11.6 Comply with the Corporate Information Security Policy, including the Home Working Policy.

- 3.11.7 Assist with delivering training packages for officers involved with home, mobile & flexible working.
- 3.11.8 Enable officers to work remotely from any location including partner and stakeholder sites
- 3.11.9 Support the “Stay Safe” protocol in relation to lone working.

4 Compliance Requirements

As part of the services provided by Herefordshire Council any solution must be able to comply with all of the relevant legislation that affects the way data is held, processed and released by local authorities.

The main points of focus are listed below however the list is not exhaustive:

- Freedom of Information Act
- Data Protection Act
- Environmental Information Regulations
- E-Government regulations
- Civil Contingency Act
- Disability Discrimination Act
- Equal Opportunities Legislation

4.1 Freedom of Information Act (FOIA), Environmental Information Regulations (EIR) and Data Protection Act (DPA)

Information Legislation will be one of the guiding principles in how the solution and its users manage information.

The implemented solution will contain personal data on citizens within Herefordshire. It must, therefore, be capable of adhering to the basic principles of the legislation when processing, transferring and manipulating data.

It is recommended that the existing process of FOIA/EIR requests being delegated to the appropriate staff members (currently the Information officer) remain in place.

In order to adhere to these codes the solution must be able to show:

- 4.1.1 There exists the functionality to build in a referral process to refer complex FOIA/EIR requests to a specialist.
- 4.1.2 A way of tagging information to indicate if the information will potentially fall under one of the FOIA/EIR exclusions. (N.B this would not in anyway restrict the access Council staff have to the information nor would it prevent them releasing the information if after deliberation they decided it does not fall under an Exemption clause. The flag would merely be there to act as a warning.)
- 4.1.3 It is capable of indicating copyright and other intellectual rights ownership.

4.2 E-Government Requirements

The solution must be compliant with:

- 4.2.1 **BIP 0008:2004** (legal admissibility and evidential weight of information stored electronically) and
- 4.2.2 **DISC PD 0018:2001** (information management systems - building systems fit for audit)
- 4.2.3 **e-Government Metadata Standard (e-GMS)**, part of e-GIF, e-GMS facilitates the retrieval and categorisation of information held electronically by applying control taxonomies including IPSV v2
- 4.2.4 **e-Government Interoperability Framework (e-GIF)**, the government's mandatory technical policies and specifications for achieving interoperability and information systems coherence across the public sector. At its highest level, it means that all applications should:
 - 4.2.4.1 Provide a browser interface for access

- 4.2.4.2 Use XML as the primary means for data integration
- 4.2.4.3 Use Internet and World Wide Web standards
- 4.2.4.4 Use metadata for content management
- 4.2.5 **XML Schemas** from UKGovTalk, defining electronic content standards for specific services and life events
- 4.2.6 **W3C** specification and **Web Accessibility Initiative Guidelines**, to ensure the e-Gateway can satisfy the Disability Discrimination Act in delivering content and facilitate a sustainable content platform. The 'PAS 78 Guide to good practice in commissioning accessible websites' should be used for the commissioning and maintenance of public-facing web-based services.
- 4.2.7 To provide the means for 'joining up' with central Government and other partners online, in order to share resources and information more effectively and provide a better service to customers by providing a single external authentication method to allow public access to Local Authority services.

5 Technical Vendor Criteria

The solution will become the key platform through which all of the standard information processing within Herefordshire Council will function.

5.1 Solution Architecture Requirements

Given the importance of the solution, the following points can be made about the Vendor criteria:

- 5.1.1 Suitable suppliers will be able to show that, using the proposed solution; they have successfully integrated front & back office functions and processes across a range of local authority services. They will be able to provide contact details of at least two reference sites
- 5.1.2 Public web applications must use an n-tier approach allowing the separation of presentation, application and database
- 5.1.3 The application must be operable over multiple sites via the Council network and remotely.
- 5.1.4 Any application software and associated hardware platform needs to be 'of proven design'.
- 5.1.5 Suppliers should be able to provide full access to the project history documentation of the reference site implementations
- 5.1.6 Any proposed solution should be robust and of a highly resilient design. The supplier should be able to provide evidence of availability in similar implementations and proven disaster recovery capabilities.
- 5.1.7 Major elements of the solution should be 'off the shelf' i.e. tried and tested and requiring only to be configured to suit the requirements of Herefordshire Council
- 5.1.8 The solution design should enable a great deal of such configuration to be carried out by designated Herefordshire Council employees
- 5.1.9 The solution architecture should be of a modular design so that it can be upgraded and modified without necessitating a major redesign and without service-affecting downtime
- 5.1.10 Suppliers should be able to demonstrate that any proposed solution has the proven capability to link with systems of partners, suppliers, other agencies and Central Government
- 5.1.11 Suppliers must adhere to the latest e-government interoperability framework (e-GIF), the mandatory government's technical policies and specifications for achieving interoperability and information systems coherence across the public sector
- 5.1.12 The solution should comply with BS7666/LLPG and BS8766 for property and people information, respectively
- 5.1.13 The solution should hold records in compliance with the ISO15489 Records Management standard
- 5.1.14 The solution should support international character sets as well as multiple date formats as defined in ISO8601 and multiple currency formats supported
- 5.1.15 The solution is expected to support compliance with the Freedom of Information Act 2000 and the Data Protection Act 1998 and other legal requirements and provide the measures to ensure compliance. These will include the requirements of auditors, inspectors and procedures to optimise legal admissibility of electronic data images in a court of law
- 5.1.16 The solution should cater for different levels of security and access rights to information, allowing material to be stored securely and confidentially but able to be accessed immediately by authorised users
- 5.1.17 The solution must comply with all of the Council's current international quality standards

5.2 Scalability and Disaster Recovery

Business Continuity work will be carried out by Herefordshire Council to deliver the Recovery Time and Recovery Level Objectives (RTO & RLO) as part of the delivery project to ensure that business recovery

and availability requirements can be met. The solution architecture and subsequent software implementation must support the figures identified, taking into account the details listed below:

- 5.2.1 The solution must support disaster recovery from bare metal through to a fully recovered and operational system, utilising best practice techniques for recovery from tape storage (utilising industry standard backup software), images and original software media
- 5.2.2 It is the Supplier's responsibility to provide the first set of technical recovery documentation (to cover bare metal recovery) to include:
 - 5.2.2.1 Hardware configuration
 - 5.2.2.2 Operating system recovery
 - 5.2.2.3 Database recovery
 - 5.2.2.4 Application recovery
- 5.2.3 The solution and architecture design must be fully scalable to operate from dual data centre locations utilising the existing network bandwidth to provide load balancing and failover for maintenance and to enhance availability
- 5.2.4 Provision must be made for a minimum of:
 - 5.2.4.1 Bare metal recovery (annual) + Business assurance testing
 - 5.2.4.2 Failover and capacity testing (annual) + Business assurance testing
 - 5.2.4.3 Change and Configuration management to cater for disaster recovery retests following major changes
 - 5.2.4.4 Log shipping

5.3 Security

- 5.3.1 The solution must comply with ISO27001 requirements.
- 5.3.2 The solution must be compliant with all security patches and operating system/database updates applied to the server platform.
- 5.3.3 Herefordshire Council will retain full administration rights and access. This will apply to all servers relating to or running the solution.
- 5.3.4 The supplier will provide technical updates when required and notify Herefordshire Council in advance of critical updates when they are released
- 5.3.5 The solution must support SSL encryption.
- 5.3.6 Users will be role based with passwords meeting the Council's standard password protocols

5.4 Technical – Platforms

- 5.4.1 The publishing client should ideally have zero footprint - i.e. not leave published data / document(s) in a temporary location on the client PC after using the application
- 5.4.2 The solution must be capable of running on a minimum specification PC of Pentium4 1.8mHz processor, 256MB RAM, running Windows 2000, however, the majority of PCs are of a higher specification and are running later versions of the operating system.
- 5.4.3 The solution needs to be accessible via remote / home working over secure connections
- 5.4.4 The solution needs to be capable of running via terminal services, a variety of web browsers or client/server architecture.

- 5.4.5 The solution needs to be able to interface securely to data captured on mobile devices e.g. PDA, mobile telephones, laptops, tablets etc
- 5.4.6 The solution should require administrator level privileges to install software onto internal client PCs. Updates to the software on internal client PCs should be capable of being deployed via a centrally maintained script.
- 5.4.7 Flash / Active X controls will be considered for internal sites. For external sites, there must always be a fully usable and well-designed alternative. Flash should never be used for navigation.
- 5.4.8 The solution should not require the installation of any software onto external (customers) PCs
- 5.4.9 The solution should run on industry standard databases (Microsoft SQL or Oracle)
- 5.4.10 The solution must integrate with Herefordshire Council SAN architecture
- 5.4.11 The solution must be compatible with industry standard testing tools

6 Integration Issues

Integration will be one of the key issues for the solution to be implemented at Herefordshire Council. Currently there are a large number of legacy systems all operating across different directorates, with different user bases on different operating systems and there is currently limited integration between these systems.

It will be necessary for the solution to be able to have the capability to integrate with these legacy systems, without the need for large-scale bespoke development of either the solution itself or the existing legacy systems.

6.1 Integration and Interfacing to existing local authority systems

The solution must be able to easily integrate/interface as appropriate with standard Database technology (Oracle, SQL). The Council has a series of databases holding information that will need to be either uploaded or referenced. The following list is an example and is not exhaustive:

- The Academy system (Ingres)
- The TALIS system (Unix)
- The EDRMS solution
- The workflow solution
- Integrate with Service Orientated Architecture (SOA)
- The Reality system (Pick)
- The Microgen BACS system
- The MVM 20/20 Planning System
- The Oracle 10g spatial database for GIS information.
- MapInfo technologies (Professional, Exponare, MapXtreme)
- The corporate Local Land and Properties Gazetteer database (Oracle)
- Achieve Forms for web data input.
- The corporate standard desktop operating on a minimum of Windows 2000. The Council does have a project to implement Windows XP as the standard operating system.
- The Microsoft Office suite (Office 2000 and later), including pre-defined Council Letter/Fax/Email templates. The Council does have a project to implement Office XP as the standard desktop software suite.
- The corporate email/calendar system for Diary Management/Appointment Scheduling. Currently the Council uses Microsoft Exchange 5.5 however this is due to be replaced shortly with Microsoft Exchange 2003.
- The proposed Registration Online (RON) system
- The Council's content management system (Reddot)
- The Council's web analytics solution (Beatbox & Sawmill)
- The Council's CAD system, currently AutoCAD
- Provide Computer Telephony Integration (CTI) links to the Council's Siemens telephone system. The solution should provide functionality so that if calls are handed off from the first contact point with the caller still on the line, CTI functionality will be used to transfer the case record along with the voice call to specialist support staff

6.2 Methods of Integration / Interfacing

- 6.2.1 The integration technology should be such that any data changes made should, where possible, update the relevant legacy system in “Real Time”, with the ability to re-synchronize data in the event that either system failed.
 - 6.2.2 The solution must be able to accept uploads of data from various partners in various forms (some of which may be encrypted), including but not exclusively: CSV files, XML, XML schemas, text files
 - 6.2.3 The solution must be able to produce downloads of data to various partners in various forms (some of which may be encrypted), including but not exclusively: CSV files, XML, XML schemas, text files
-

6.3 Integration to future systems

- 6.3.1 Data held by partner organisations must be accessible to enable Herefordshire Council to have the “whole view” of a customer. Additionally the Herefordshire Council solution must provide the facility for external agencies to access and update the necessary data securely, as required.
- 6.3.2 The Social Services aspects of the Adult & Community Directorate and Children’s and Young People’s Directorate, will be required to conform to a “Multi-disciplinary working” model. This will mean that these areas will need to share information and integrated processes with all statutory partners and selected social enterprise organisations, to include the Children’s Trust, Hereford Hospitals NHS Trust, Herefordshire Primary Care Trust and the proposed Public Service Trust.
- 6.3.3 Data will need to be able to integrate with the Information Sharing (IS) index as specified by the DfES which is due to be implemented by the end of 2008.

7 Glossary of Terms

Balanced Scorecard	A way of describing an organisation's strategy by using a number of linked objectives that are balanced across four different perspectives – customer; internal business; innovation, learning and development; and financial
Customer	A customer is defined as an external individual or group of individuals or a business or partner who interacts with the council.
Extranet	An extranet is a private network that uses Internet protocols, network connectivity, and possibly the public telecommunication system to securely share part of an organisation's information or operations with suppliers, vendors, partners or other businesses. An extranet can be viewed as part of a company's Intranet that is extended to users outside the company (eg: normally over the Internet).
Failover	Failover is the capability to switch over automatically to a redundant or standby computer server, system, or network upon the failure or abnormal termination of the previously active server, system, or network. Failover happens without human intervention and generally without warning
Internet	The Internet is the worldwide, publicly accessible network of interconnected computer networks that transmit data using the standard Internet Protocol (IP). It is a "network of networks" that consists of millions of smaller domestic, academic, business, and government networks, which together carry various information and services, such as electronic mail, online chat, file transfer, and the interlinked Web pages and other documents of the World Wide Web.
Intranet	An intranet is a private computer network that uses Internet protocols, network connectivity, and possibly the public telecommunication system to securely share part of an organisation's information or operations with its employees.
Partners	Partners are organisations that the Council has agreed or are mandated to share information with. Examples include the Primary Care Trust, Department of Environment, Department for Education and Skills, Herefordshire Partnership
RFx	Request for variable e.g.. x = tender, contract, quote
SLA	Service Level Agreement
User	A user is an internal employee / contractor or authorised person (possibly from a partnership organisation) that has use of the Council system