For Information

Part 2 Specification

Contract Reference

TCS1219

Contract Title

Children's Services Case Management System

Contents

1. Minimum / Mandatory Requirements

The Council's mandatory requirements, which will be assessed on a pass/fail basis are set out in Stage 2 of the Part 4 Award Questionnaire.

The minimum and optional requirements against which Applicant's submissions will be evaluated are identified within this Part 2 Specification. Applicants are required to establish within the relevant responses how they will meet these requirements.

2. Technical Requirements

2.1 Governance and Project Management

Minimum Requirements

2.1.1 The Applicant is expected to take a lead advisory role in the implementation of the System and provide details of the implementation approach and provide an outline project plan and timetable.

2.1.2 The Council requires that the Applicant provide a senior programme manager, or similar role, with the overall responsibility to deliver the System in a timely and professional manner. This person would be asked to sit on an Implementation Team Meetings (maximum frequency would be monthly) and would be the first escalation point.

Optional Requirements

2.1.3 The Applicant should identify the Project Manager(s) that will be provided, but in any case, outline their responsibilities, estimate their general availability in terms of average days per month on and off site and provide details of their relevant experience.

2.1.4 The Applicant should identify, where possible, the other staff in your implementation team and detail their skillset. Alongside this, specify what resources and skills the Council will need to provide in order to meet the quoted implementation deadline.

2.1.5 Data cleansing will be required, and the Council will decide whether to contract with the successful Applicant, in-house or with an alternative third-party supplier to undertake this work.

2.2 Implementation Planning

Minimum Requirements

The Applicant must provide the following information on how the System will be initially implemented and then supported during the terms of the Contract with the Council:

2.2.1 A clear overview of each component of the system (e.g. modules, apps, etc.) and how it is licenced (e.g. site wide, named user, concurrent user), so that the Council knows exactly what it needs to purchase in order to meet the functionality required. Ideally to include an infrastructure diagram showing how the components are interconnected.

2.2.2 A high-level plan which describes how the System will be implemented for the Council and a description of the tasks involved and the time and resources needed. The Applicant will need to develop their outline plan into a full implementation plan on contract award.

2.2.3   Details of the system 'Roadmap', i.e. a plan of future changes and enhancements, which should span at least 12 months in the future.

2.2.4   Details of the Service Level Agreement (SLA) for supplying comprehensive technical support for the system. The SLA needs to cover method(s) of incident reporting, incident categorisation, response times, methods of support, out of hours support, escalation, response times, methods of support, out of hours support, escalation processes, volume of use restrictions and any occasions where additional costs would be applicable.

2.2.5   Details of the policy for supporting new versions of browsers as they are introduced, whilst still supporting older versions (with details of the browsers and versions currently supported by the system).

2.2.6   Confirmation that system documentation is provided – as a minimum, this should be the user manual and a database schema, in hard copy or electronic format.

2.3   **Configuration and Forms Design**

Minimum Requirements

The System must provide the Council with the following:

2.3.1   The ability to set up organisational structure of organisations, departments, teams, roles and people.

2.3.2   Role-based security – setting up roles and associating them with the appropriate staff, together with the ability to over-ride at either client or user level to prevent a specific user from viewing one or more record.

2.3.3   Flexible form design functionality.

2.3.4   Standard workflow design with the ability to create new or amend existing workflows.

2.3.5   Alerts and Flags.

2.3.6   Mail merge and standard letters.

2.3.7   The Applicant must confirm the level of configuration support included.

2.4   **Security**

Minimum Requirements

The System must be secure in the way it has been designed, developed and deployed and:

2.4.1   It must contain parameters which can be set to enforce timeouts (mandatory).

2.4.2   It must have a password policy incorporating encryption, use of mixed case, numbers and special characters, minimum length, expiry, limit on login attempts, logging of unsuccessful login attempts and "forgotten password" functionality (mandatory).

2.4.3 Applicants must provide up-to-date documentation from the latest annual Application Penetration Testing undertaken by a reputable security vendor and provide evidence that any high priority items have been addressed. If this is not immediately available, the Applicant must guarantee that this will be in place by the time the Contract is signed.

2.4.4 Applicants must have general security procedures in place. These should include adherence to recognised standards (e.g. ISO/IEC 27001), equipment audits by a reputable third party (details of audits to be made available on request).

2.4.5 All personal data must be supplied using https (minimum level TLS 1.2) (mandatory).

2.4.6 Access to the Council's dataset must be limited to the Council and approved personnel from the Applicant (mandatory).

2.4.7 Applicants must have technical and procedural security measures in place to prevent:

      i   Unauthorised or unlawful processing of personal data (mandatory)

      ii   Accidental loss or destruction of or damage to personal data (mandatory)

Optional Requirements

2.4.8 The use of a Single Sign On (linked to the Council's Active Directory) would be an advantage. If offered by the Applicant, it must be able to cater for external parties, not in Active Directory, requiring access to the system.

2.5 **Testing and Training**

Minimum Requirements

2.5.1 The System must be supplied within at least two environments in addition to the live environment, to be used for development, testing and training purposes.

2.5.2 Detail what support you provide to support Council staff throughout the UAT cycle. For example, providing guidance, or templates for UAT Testing Scripts and/or site visits to support the Implementation Team and Users throughout the UAT.

2.5.3 Identify any additional types of testing that you would recommend (such as Penetration Testing and Volume Testing) and explain how this will be managed in the context of a Hosted Solution.

2.5.4 Children's Services, Practitioners from across the Partnership will need to be trained to use the system based on Train the Trainer. Online help facilities and e-learning should be provided, together with a customisable user guide. The training needs to cover the basics of care management alongside the knowledge of how to use the system.

2.6　**Accessibility**

Minimum Requirements

2.6.1　Any enforced format or layout requirements imposed meet at least AA standards in terms of Accessibility (or give proof that they are working towards achieving AA standards) (mandatory).

2.7　**Protection for the Rights and Freedoms of Data Subjects**

Minimum Requirements

2.7.1　The Council's data must not be transferred to a country or territory outside the European Economic Area, unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects in relation to their personal data. The successful Applicant will be required to comply with any changes in data protection legislation put in place post Brexit (mandatory).

2.8　**General Data Protection Regulation**

Minimum Requirements

Applicants must ensure that the System is GDPR (General Data Protection Regulation) compliant, and provide:

2.8.1　Their Data Protection Register Number and expiry date

2.8.2　Details of their Data Protection Officer (if applicable) and their responsibilities

2.8.3　Any relevant data protection policies and procedures

2.8.4　Details of how the Applicant reviews and updates policies for processing data on behalf of their data controllers

2.8.5　Processes for detecting and communicating data breaches

2.8.6　Details on how the system complies with the information rights of data subjects including rights of subject access, right to be forgotten and right to rectification

2.8.7　Details on how data can be deleted en-masse and automatically, according to the appropriate retention schedules

2.8.8　Details of the data privacy and security training employees in the Applicant's organisation receive

2.9　**Hosting Services**

Minimum Requirements

2.9.1　The Hosting Service must be compliant with the 'Implementing the Cloud Security Principles' guidance from CESG.

2.9.2　The System must provide an availability level of 99.5% measured over a calendar month: 24 hours a day 7 days a week.

2.9.3   The Applicant is requested to outline the backup and recovery strategy included within the Proposal and cover issues such as full and incremental backups, data and database backups, frequency, cycling of backups and the strategy for regular testing of high quality restore procedures. Please also confirm the strategies for different databases (live, development and testing).

2.9.4   The Council has an expectation of an acceptable local response time for user activity. The Applicant is required to specify average response times for key user activities.

2.9.5   The Applicant must outline any benchmarking that has been undertaken on your System along with the results and how the Council might participate in benchmarking our implementation of your System prior to implementing in a live environment.

2.9.6   Applicants must have a Service Level Agreement (SLA) for the hosting of the System. As a minimum the SLA needs to cover back-ups, system restore, integration with other Council systems, System availability/reliability, service credits, turnaround time for live to test/training environment refreshes (the Council's requirement is within 2 working days). Turnaround time for changes in access rights to data or services (the Council's requirement is within 2 working days), loading of software patches and upgrades (including patches and upgrades to operating systems and third party components), details of where data back-ups will be held and what physical and electronic security will be used to secure them. The solution must be capable of supporting batch interface feeds into and out of the system, to be executed in accordance with agreed timetables.

2.9.7   The Applicant must confirm:

   i   The level of infrastructure monitoring that is in place in relation to problem management and the level of reporting that is provided;

   ii   The process for incident, problem, change and performance management and how major incidents are handled;

   iii   The frequency of hardware and software upgrades and what typically constitutes a major upgrade;

   iv   The process for management and delivery of product suite maintenance for defect fixes, upgrades, patches and software clarifications;

   v   Whether elevated access rights to systems are reviewed and if so the frequency;

   vi   If policies, procedures and controls are in place to ensure timely patching is applied for known vulnerabilities;

   vii   If policies, procedures and controls are in place to ensure that all systems run anti-virus software with continuously updated virus definition files;

   viii   If policies, procedures and controls are in place to ensure that system and network environments are separated to ensure isolation from other customers;

ix	If policies, procedures and controls are in place to ensure that system and network environments are separated to ensure the segregation of production and non-production environments;
x	If policies, procedures and controls are in place to ensure that changes to the production environment are documented, tested and approved prior to implementation;
xi	If an industry recognised secure software development methodology is followed, and if so which methodology;
xii	If code is tested for security vulnerabilities prior to release of new software versions; and
xiii	If your software relies on any unsupported or unmaintained components from third parties.

2.10 Data Migration

Minimum Requirements

2.10.1   The Applicant must ensure that the appropriate data is migrated from the Council's current system(s) in a secure, accurate, correct and timely manner. Council resources will be provided to extract data from the existing system.

2.10.2   The Applicant must provide details of the approach to data migration and what documentation and support is provided.

2.10.3   The Applicant must provide evidence of successful implementation of data migration from a Child Social Care System, both client information and related financial information in the last five years (mandatory).

2.10.4   The Applicant must have experience of migrating Foster Carer and SGO payments data from third party solutions.

2.11 Implementation and Go Live Support

Minimum Requirements

2.11.1   Training must be available to support the implementation of the system.

2.11.2   The Applicant must specify the level of on-site implementation support within their submission.

2.12 Post Implementation Services

Minimum Requirements

2.12.1   The Council must have free (of additional charge) access to its data for raw extraction. This can be supplied by any of the following:

i	By the Applicant providing full read access (not limited to standard working hours) to the Council's dataset for a limited number of individuals within the authority;
ii	Local replication; or
iii	Remote replication to the Council's site

2.12.2 The System must enable new interface feeds/data extraction processes to be created to run on the hosted system. This includes creating the gateways to allow data to be placed for collection and/or directly accessed (via web interface in real time) and/or allow for data integration into other council systems (finance system for example) (mandatory);

2.12.3 The System must provide for the automatic recovery of application files following a system break and the ability to automatically re-update files to the point of the break without the necessity for manual re-keying of data by the users;

2.12.4 The System must ensure that all data is encrypted in transit (mandatory); and

2.12.5 The System must be capable of supporting a secure connection mechanism from the Authority's network to the hosted System (mandatory).

2.12.6 Applicants must have, and be prepared to provide details of, appropriate Disaster Recovery/Business Continuity procedures in place (i.e. how the organisation plans to ensure its continued functioning and servicing for this Contract, after a major event, e.g. a flood or fire that results in the loss of computers, telephones, premises etc.). The procedures need to cover both the system and services (e.g. server/database outages, helpdesk support etc.).

2.12.7 The Applicant must supply the Council with all its production data (in a format and time to be specified), with an appropriate database schema, free of charge at the end of the contract period.

2.12.8 All Applicant staff who have access to the data must comply with GDPR requirements when accessing Council data.

2.12.9 The Council must have full editorial capability over the style of the web pages and the content must fully adopt responsive web design.

3. Aesthetic and Functional Characteristics

3.1 Key Over-arching User Requirements

Minimum Requirements

3.1.1 It is essential that the System provides the ability for Practitioners to clearly record the impact of services and the outcomes for children. There should be a mechanism for information to flow between Practitioners and external partners to a central database of information about who is receiving help from where, what their needs are, and whether outcomes are being achieved for individual children and whole families.

3.1.2 It is essential that information once recorded is not requested again. Information input at one point is then viewable from all forms and processes that rely on this information. It should be clear to any reader that the information has been pulled through from another source and it should be possible to change/add to this. Changes should be made possible to key information through forms, without the need for the user to navigate out and back into another place deemed as the central place for this information.

3.1.3 It is essential that the System guides and lead users through core processes in line with regulatory requirements so that key stages, information and steps are not missed. This solution should allow for, in defined circumstances, processes to run in parallel and where also necessary for a process to be abridged and stepped out of. Regulations that need to be adhered to also include financial regulations and the local scheme of financial delegation.

3.1.4 It is essential that an overview of the current, latest position in respect of the child and young person is clearly viewable within the record. This includes summarising the latest entries on case, the legal status of the child, the case level, the regulatory process in which they are engaged, core details about the child (biographical details and current address) and practitioner details with core responsibilities to that child. This function should also be present for cases closed to the authority capturing the position at the time of closure.

3.1.5 It is essential that the System generate graphical views of the case in respect of the child's familial connections and relationships and a timeline of the engagement with a child.

3.1.6 It is essential that the System must be user friendly and provide logical and speedy navigation through and throughout the system. Ideally all facets of the record should be accessible a "single click" or no more than three clicks away.

3.1.7 It is essential that routine and frequent user needs should be anticipated from within the user interface. For example, the need to view eco maps and genograms or post information to the chronology or move to the chronology from within the case overview. This includes the production of standard letters or forms to specified users and colleagues at key points in processes.

3.1.8 It is essential that the recording of information across sibling or family groups is addressed so that the time needed to update multiple related cases is minimised. For example, the completion of assessments across a family group should allow the user to add core elements across selected individuals whilst also allowing for these to be edited.

3.1.9 It is essential that the Applicant's System can stay in line with central government demands and local innovation across Children's Services including those related to it and those from partners as it relates to delivery of Social Care and Early Help. For example, the delivery of Child Protection Information System.

3.1.10 It is essential that the System provides the capability for a Client Portal so that individuals and families can seek advice for themselves including feedback directly from children and young people and families.

3.1.11 It is essential that the System provides information about involved professionals from across the Children's Partnership. Partners may need access to update their records in relation to children and families but would not be able to see case management of personal information beyond this.

3.1.12 It is essential that the System provides a comprehensive solution for Subject Access Requests which is based on ease of access to all available records and download as one function and includes a solution for redacting.

3.1.13 It is essential that search facilities are also available within a selected record to identify information against user defined parameters i.e. searching for forms or activities of a certain type and/or over a specified time period.

3.1.14 It is essential that users of the System are, on log on, provided a clear set of customer configurable reminders as to tasks required by them.

3.1.15 It is essential that users of the System support the delivery of a Local Authority run fostering service. This must address all facets of the service from recruitment and training to approval and supervision and payments including connected carers and other arrangements.

3.1.16 Managers must be able to easily move work from one service to another and allow for practitioners from different teams to work on one case.

3.1.17 It is essential that the System has the capacity to receive information from a range of partner data systems and integrate this information in the case record using a unique identifier.

3.2 **Look and Feel, Navigation and Ease of Use**

Recording Capabilities

Minimum Requirements

3.2.1 All memo fields must have an auto UK spell check facility which also offers suggested corrections, include both grammar and thesaurus capability and also allow for formatting options within them i.e. bullet points, underlining etc.

Optional Requirements

3.2.2   It would be helpful if the System could, on a "single click" allow the user to dictate the required content of fields on to client forms. It would also be advantageous if the software could support handwriting recognition as another way to create entries onto forms.   This includes the potential for client signatures to be added to specified forms.

3.2.3   It would be helpful if the System could send and save texts and emails from within the child's record. This specifically includes the potential for sending alerts as SMS texts to Practitioner's and Client's telephones.

3.2.4   It would be helpful if when Practitioners are required to visit or meet professionals or children, that such appointments are generated as an entry within the relevant Practitioner's Microsoft 365 Office Diaries.

3.2.5   It would be helpful if Practitioner colleagues outside of Children's Services could during core process i.e. MASH, CP Conference Reports, or Early Help environments be able to see and contribute information directly into the child's record i.e. teacher reports as part of PEPs or Health Assessments for Looked After Children.

3.3   **Accessibility**

Minimum Requirements

3.3.1   The System must provide the potential for system users to access inline help and prompts whilst in a child's records especially when undertaking processes that are part of the specified 'workflow' supported processes. This includes hot links to the Council's procedures.

3.3.2   Users of the System must be able to adjust and re-size windows including the ability to change colour scheme and font size.

3.3.3   Screen layouts must be uncluttered and consistent and where possible key functions represented as options or buttons must be clear.

3.3.4   All forms and fields must be configurable to reflect local terminology and Children's Services Practice Model.

3.3.5   When versions of forms are needed to be shared with children or families or colleagues these must be generated on one click and offer the user of the System to determine what elements of the form and what format is required i.e. Word or .pdf.

3.3.6   Users of the System must be able to view more than one client record at a time through separate windows.

3.4   **Workflow**

Minimum Requirements

3.4.1   The System must offer the potential for core regulatory process and the attendance tasks to be established as a workflow. The solution must not be too rigid and allow for processes to run in parallel as permitted under regulation and, in pre-defined circumstances, permit the potential for the process to be abridged and stepped out of. The solution must offer the potential for communication and alerts to Practitioners within the processes. The construction of the workflows must also be easy to locally establish and maintain.

3.4.2   The System must allow for the creation of workflows on other processes outside that stipulated in regulatory guidance including seeking and securing placements for children who are looked after.

Optional Requirements

3.4.3   It would be helpful if progress towards competition a process is visible within the case summary and the activities required by Practitioners referenced in section 3.1.

3.5   **Case Management**

Minimum Requirements

3.5.1   The allocation of cases and movement from one to another must be clear and easy to achieve for those with the security level to do so. Updates to the child's record should not be restricted during the transfer of the case up to the point the case is reallocated. When cases are due to transfer or have other workers engaged in the delivery of child's plan the System must support this and record the role and accountability each Practitioner has for that case i.e. key allocated worker, co-worker etc.

3.5.2   The System must provide the facility to record warning indicators on a record which should also be visible with the case summary view specified in 3.1. Examples include personal safety alerts; the alert should also have a start and end date at which this was added.

3.5.3   The System must on one click enable a Manager to select individual team members and see current allocated cases, the status of cases, current progress on any key workflows and any overdue tasks. Selection criteria for this type of online report should include other parameters including, but not exclusively, legal status, process currently being undertaken, length of time since child last seen, length of case open, tasks that are overdue or nearing due and length of time since last activity on an open case record. Managers must also be able to view key steps within processes as well as stage of completion for all jobs by a worker. The Manager should also be able to navigate from this report into the place within

the record highlighted by the report. The report must also allow for collating children into family groups and legal cases.

In addition, the System should also allow for one Manager to view another team's cases in the event of the need to provide cover.

3.5.4   When a case is closed and all services are no longer required, the System should warn the Manager if any work tasks remain outstanding. Closure must clearly show a "date closed" for the case as a whole and be linked to "file archiving" i.e. for how long data must be kept based on the current and any previous period of intervention. There should be a simple closure summary outlining what work has been done, the reason for closure and any outstanding issues.

3.5.5   The System should track and collate via an online report the performance of individual team members on all current and previous allocated cases they have completed. The report should be easy to understand, clear and visually engaging showing the cumulative performance across a range of measures from number of cases and profile of cases held over time, to compliance with nationally set time limited activities etc. Each Practitioner should be able to access their own report and with each management tier the data aggregated to reflect the performance of the team service right through to the Assistant Director etc.

Optional Requirements

3.5.6   It would be helpful if allocated Practitioners, especially those holding the key allocated responsibilities, could be advised of any changes to the records they are responsible for.

3.5.7   It would be helpful if all upcoming tasks could populate an Office 365 calendar for the team identifying when visits or meetings are due to take place, and on which cases, by which Practitioner.

3.6   Address Handling and Searching

Minimum Requirements

3.6.1   The System must provide the ability to search for records using options such as 'sounds-like', 'fuzzy matching', common misspellings, switching first name and family name, wild cards etc. The standards used must conform to those commonly used for these functions. It would be advantageous if search criteria could include 'relationship'.

3.6.2   The System must first require a search to see if the person already exists before a new person can be added. If forename, family name, date of birth, gender and address are all exact matches, the duplicate record should not be allowed to be

added. If there is a match on three of the four elements, a warning prompt should identify the risk of a duplicate record.

3.6.3   The ability to search against used defined parameters must also be possible within a child record (see section 3.1).

3.6.4   The System must link with the Local Land and Property Gazetteer(s) (LLPGs) for address look-up across the System.

Optional Requirements

3.6.5   It would be helpful if the System could link to mapping software to show the location of the address and how to get there.

3.7   **Relationships**

Minimum Requirements

3.7.1   The creation of relationships must be intuitive for the user. For example, relationship types should be suggested when records are created where address and other familial relationships already exist, and these should be appropriately adjusted when moving between related siblings. The System should also catch and prompt when expected dates of birth of unborn children are reached. Established relationship links should also inform and support the competition of activities across multiple clients as specified in 3.1. It must also easily transform relationships and networks into genograms and eco maps also as stated in section 3.1.

3.7.2   In addition to identifying and recording against one or multiple related individuals simultaneously the System must enable the identification of cases under other groupings and unique identifiers i.e. a family or public court case. This will apply to familial members who may not be resident at the same location.

3.8   **Ongoing Learning Following or Linked to New Releases**

Minimum Requirements

3.8.1   Training for train the trainers must be provided as part of the roll out of new versions that adjust the operation of the database.

3.9   **Audit**

Minimum Requirements

3.9.1   The System must produce, for those with administrative access, an audit trail for data entry, i.e. to establish who has entered, modified or viewed data and when this was completed.

3.10   **Document Management**

Minimum Requirements

3.10.1   Documents stored against a client must be easily accessible from within the client record. How this is achieved both in terms of access and adding documents must be clear and intuitive for users.

3.10.2   The Applicant must offer a potential structure for the document store that reflects the best practice seen across implementation sites. There should also be the potential to institute some system of enforced naming rules for documents.

3.10.3   Post implementation the file structure for the document section must be available to be changed locally. For example it is expected that adding new elements to the structure and renaming existing ones would be easily achieved, and that it would also be possible to close existing elements and either continue to make the contents available for viewing (but not adding any new documents), or completely closing and moving all the documents to a different location within the client record.

3.10.4   Early Help Practitioners require the option to save an entry (a minimum of assessments, plans, reviews, case records and any external documents) against an individual child or a family unit.

3.10.5   Each child and each family need a unique reference number. The Practitioner will define the family unit at the start of an intervention and have the ability to change this if there are changes in the family unit.

3.10.6   The search facility will help users quickly find a document. This includes the flexibility to search parameters including but not exclusively, file date, saved date, file type, 'Author' etc., but also any searching by partial (using wildcard) file name or any content search facilities.

3.10.7   It would be advantage when retrieving documents if they could be viewed in a preview mode prior to opening and rotate images.

Optional Requirements

3.10.8   The System should enable electronic redaction of information without the need for printing.

3.10.9   In line with requirements mentioned above the facility to store one file across multiple records at the same time would be desirable.

3.10.10 It would be helpful if the system could save incoming and outgoing emails and communications via SMS and other mobile applications.

3.11   System Administration

3.11.1   Configuration

Minimum Requirements

It must be possible to customise and configure the system locally in order to ensure that it reflects local policies and processes. This should include:

   i   Renaming field names as visible on screen

   ii   Populating and changing values in code tables

iii	Establishing views of code tables that are tailored to the codes required by specific groups of users
iv	Making fields mandatory or allowing them to be missed
v	Setting up workflow to guide users through processes
vi	Building in prompts
vii	Setting up system parameters
viii	Populating/maintaining drop-down box content (confirm that obsolete entries in a drop-down box option will not be visible other than in a historic context, but that it is also possible to reinstate an obsolete entry)

3.11.2 The System must have the facility to customise/contextualise key "home" screens dependant on the type of user.

3.11.3 It would be advantageous if users could be able to reset System passwords themselves.

3.12 Records Maintenance and Archiving

Minimum Requirements

3.12.1 The System must be able to archive or delete redundant records in line with the Council's Guidelines and National Regulations. The client record must be retained for the longest specified retention period of any part of the record.

Optional Requirements

3.12.2 It should be possible to flag individual records to be deferred until after the nominated retention period by the input of a deferment date with reasons for the deferment.

3.12.3 It should be possible for additional entries or flags to be put on a client's record when the contents have been found through formal investigations to be false.

3.13 Data Correction and Roll Back Facilities

Minimum Requirements

3.13.1 The System must provide the facility to remedy data entered in error to ensure data quality. All such actions must be recorded in the Audit log and must not compromise system integrity. The facility must include a "roll-back" option which addresses, for example, the situation when a system user has been progressed through one, or more, workflow stages in error.

3.13.2 The System must allow for data entry errors to be corrected by council trained systems admin staff using system provided tools.

Optional Requirements

3.13.3   The System should have the capability to merge data incorrectly stored on one client onto another e.g. if a duplicate record had inadvertently been created on the system.

3.14   Security

Minimum Requirements

3.14.1   The System must have comprehensive and proven role-based security functionality. This functionality must include the ability to use inclusive or exclusive logic e.g. a record set can only be accessed by nominated Practitioners or Practitioners with a role of X OR a record set cannot be accessed by nominated users or those with a role of X. it must also include the ability to over-ride at an individual user level e.g. a record set can be accessed by users with a role of X except for Practitioner Y, or a record set can only be accessed by Practitioners with a role of X, except for user Y, who cannot.

3.14.2   The System security must also allow for restrictions and limitations irrespective of type of to both access and/or amend certain elements of the client's record. For example, a role may be able to add elements to case notes but not assessments and where data has to be further restricted see the clients file but not the adopter's details.

Optional Requirements

3.14.3   It would be helpful it possible to completely hide any disallowed records/ information, or show that the disallowed record / information exists, but the Practitioner does not have access to it.

3.14.4   It would be helpful if "Read-only" was a "tick-box" option so that roles could be set up with the same access as a particular type of user, but without the ability to update.

3.15   Forms Design

Minimum Requirements

3.15.1   The system must be able to allow council trained staff to develop locally designed forms that support the authority's chosen practice model and that the functionality is available to provide intelligent branching, so system users are not required to rigidly go through each potential field within a form.

3.15.2   It must be possible to create tabular or matrix style questions which can capture unlimited (within reason) text in each/any cell of the table/matrix.

3.15.3   It must be possible for information to be brought forward from previous versions of the same form allow the users to update and add and not re-enter from scratch. This functionality must include the pre-population of core demographics.

3.15.4   The system must ensure that documents can be locked on authorization, but that system administration staff would have the ability, under controlled circumstances, to unlock forms. It is essential that printed documents include the dates on which the form was printed.

3.16   Standard Letters/Outputs

Minimum Requirements

3.16.1   The System must have the facility to generate letters that merge key information into a predesigned format. It must be possible to establish the production of letters and documents I.e. plans or assessments as part of a workflow and that the date of production is recorded. The system user must also have the facility to produce outputs from the system in a range of formats to allow for redactions. It would be good if such outputs could be emailed directly from the system.

Optional Requirements

3.16.2   It would be beneficial if the functionality of the System allowed for the production of such outputs for people with different types of disability.

3.17   Organisational Structure Maintenance

Minimum Requirements

3.17.1   The System must have the facility to create teams as part of management and operational structure. It would be beneficial if when structures are changed all allocated work can be moved on mass to a new team without the need to move each client. It would also be beneficial if caseloads or groups of cases could be moved as a block from one worker to another.

Optional Requirements

3.17.2   It would be beneficial if users of the System have the ability to amend certain key personal details without the need for administration staff.

3.18   Online Help

Optional Requirements

3.18.1   The System should provide context-sensitive, locally configured help and guidance available at a field level with the ability for configuration by the Council's systems administrators. It should be possible to either hover over it to show quick guidance

or click on a "button" to access further guidance from Torbay Council Policy and Procedures and/or externally hosted guidance.

3.18.2   Help Text should be easily maintainable by Council staff.

3.19   Reporting Infrastructure

Minimum Requirements

3.19.1   The System must have a comprehensive, documented data universe(s) so that reporting can be done via Business Objects and other reporting tools such as SSRS (SQL Server Reporting System) in particular, for ad hoc reporting.

3.19.2   The System must allow for a 'self-service' reporting that allows users of the System to select and manipulate criteria by Practitioners either directly online or through a third-party tool. If the solution offered is through a third party tool evidence must be given of this being successfully implemented.

3.19.3   The System must have functionality to ensure that all locally defined fields are incorporated into the data universe on an on-going basis.

3.19.4   When carrying out reporting against the universe, the main case management system must not be impacted in terms of performance.

3.19.5   The System must have an associated data warehouse(s), with a library of existing reports and a facility for additional reports to be developed by Council staff. There is a requirement for the Council to develop reports which additionally use external data from excel or CSV or similar formats. It would be helpful if tools are provided to enable data to be extracted from this warehouse into a corporate data warehouse.

3.19.6   The universe must be updated by the Supplier, at no cost, when new versions/upgrades to the system are provided, ensuring that locally defined data is maintained.

3.19.7   The System must include a range of built in reports, or report mechanisms, that will assist the Council in producing predictive trend analyses to identify potential early interventions which may save money in the longer term.

Optional Requirements

3.19.8   The System should have a reporting tool that allows approved users to create new embedded system reports as and when required that can query the whole database in real time and which can be run as and when needed – again by approved users. It would be helpful if such a reporting tool could allow other systems to be included in the query to produce a report containing data from multiple systems.

3.19.9   Universes should be locally customisable.

3.20   **General Reporting**

Minimum Requirements

3.20.1   The system must provide the facility to create locally defined online reports. Ideally this would include potential to present this information in graphical or pictorial form.

3.20.2   The Applicant must provide tried and test reports for existing and future statutory returns and regulatory reporting requirements i.e. including Ofsted's Annex A.

3.20.3   As specified within Section 2 of the Specification the Council requires a local copy of the database to support all performance reporting in addition to that provides to users online. The vendor must be able to demonstrate how this has been achieved elsewhere. The vendor must be also able to provide extracts of data in suitable formats for use in well-established 3 party performance management reporting tools. The Authority has established a live reporting approach to performance and management data, and this must continue with no down time or 'go dark' period on implementation.

3.20.4   The System needs the capability to produce reports which articulate the journey of individual children and families, and defined cohorts through receiving Early Help and statutory interventions. It needs to be able to identify positive and negative outcomes and report on what were the characteristics of the interventions which led to those outcomes. The System needs to respond to governance of those outcomes which may change their definition over time. Partners need to be able to contribute to the System through recording of their feedback and outcomes, including aspects of care planning that requires the direct input from partner colleagues from other agencies i.e. SDQ's, health assessments, EHCPs and health funding reports.

3.20.5   Where aggregated reporting is available within the System, including statutory returns, it must be possible for Practitioners to 'drill down' into the underlying data.

3.20.6   The System must ensure that where 'drill down' is performed, (or reports requested) security is invoked to ensure that the Practitioner requesting the report only has access to information allowed to be viewed by their role access rights. For example, if a Client has been given specific security because they are a member of staff, they should not appear on, for example, a list of overdue reviewed requested by someone who would not have access to that record (even if it was overdue for review).

3.20.7   The System, must have options within it which allows reports to be exported to XML, Excel, CSV, PDF etc.

3.20.8   The System must have the facility to output documents in accessible formats including large fonts, Braille etc.

Optional Requirements

3.20.9   Report writing should be flexible to provide the capacity to report on, for example, compliance with grant conditions for certain cohorts.

3.20.10 Built-in reports should be available to all users who have been given access to these reports and they should have a range of filters available such as whole service/team/allocated worker and/or date range and/or cost centre etc.

3.20.11 It would be beneficial if the data generated by the System could be provided to support geographical analysis, e.g. looking at numbers of Domestic Abuse referrals by post district or ward.

3.21 **Statutory Returns**

Minimum Requirements

3.21.1 The Applicant must guarantee to maintain Statutory Returns in lines with Government and regulatory requirements, it is important that this is achieved in a timely manner, to enable Council staff to both test the reports and to subsequently ensure that any data errors are corrected prior to report submission.

3.21.2 The System must be capable of providing exception reports, which can be repeatedly run, to identify where data is incomplete or inaccurate and would cause a return to fail or be reported inaccurately.

3.21.3 The System must allow for users to apply filters to national returns to allow the report to be run for a specific team or to exclude specific teams.

3.21.4 The System must provide reports that show how the services, specific teams or individuals are performing at any point in the year against all national performance indicators and each other.

3.21.5 The System must be able to generate adoptions data reports, matching the pattern of those in the Looked After Children and Adoptions Performance Tables.

3.21.6 The System must be able to produce reports and returns in relation to multi-agency Early Help support in line with any future Government programme in this area.

Optional Requirements

3.21.7 It would be helpful if the System could report along pre-determined identifiers, for example in identifying adverse childhood experiences.

4. System Functionality

4.1 General Functionality

Minimum Requirements

4.1.1 The System must hold common demographics and elements of assessment information at a family level with the ability to record individual's information against specific family members. This solution must save worker time in recording and provide for family-friendly outputs.

4.1.2 For each child it must be possible to list the services (including individual foster/residential care) received by the child and/or the child's family both currently and historically. And conversely, for each service (including foster or residential placement) to list the children currently and historically served.

4.1.3 The System must alert Allocated Social Workers and/or their Managers when specified actions or actives are due and ideally post key activities into a Microsoft Office 365 Calendar.

4.1.4 The System must have the ability to create a tabular Care Plan in a format that meets local requirements. Plans must be configurable locally depending on the different requirements of services. For example, the System must allow for different plan templates to cover Children in Need, Child Protection, Looked After Children, Adoption, Pathway Plan and Education Health and Care. Fostering assessments, SP Guardianship and viabilities.

4.1.5 The System must allow for the need to record the presence of children from other Boroughs who are visiting, but may have to record work undertaken, often on behalf of the other Borough. This group of children must be clearly distinct from those children Torbay Council is working with.

4.1.6 The System must have a facility to record missing children and subsequently record when they return along with the details of the return interview.

Optional Requirements

4.1.7 The System should allow the Practitioner to produce an ecomap illustrating the child or young person's relationships. The minimum details required by the ecomap are:

    i   The child is clearly identified and centrally located within the ecomap

    ii   The names of individuals or organisations important to the child are recorded

    iii   Any connections between any of the individuals or organisations

    iv   The strength of the relationships indicated by the format of the connections

4.2 Chronology

Minimum Requirements

4.2.1   Front-line staff and Managers must be able to access a chronology of key events in the life of each children for whom they have responsibility. This chronology must be automatically updated when key events are recorded in the system, for example, when a child becomes looked after. Historic information will be entered into the System as it is discovered through assessment and other case activity and subsequent output. Specialised chronologies will be outputted for different purposes i.e. health, education, change of are histories, for use in court proceedings. The System must have the ability to represent the history of engagement as a timeline.

4.2.2   The System must have the ability for end users to choose, select and remove significant data and events to then be pulled into the chronology output so that only the specified events appear in the chronology.

4.2.3   The Practitioner must be able to view the chronology on screen and filter the information e.g. to show health information only and should be able to print the chronology with or without the filters.

Optional Requirements

4.2.4   The System should enable the user to save a "snapshot" of the chronology in full (and filtered) for any given date.

4.2.5   The System should provide the facility to view chronology for a single child or access a group of children.

4.2.6   The System should allow Practitioners to add a commentary to a chronology and save or print the chronology for any given point in time and must allow the user the ability to format the final version.

4.2.7   There should be the ability to add to chronology from individual case management screens.

4.3 Service Ordering and Brokerage

Minimum Requirements

4.3.1   The System must provide picklists for service type e.g. transport, respite care etc.

Optional Requirements

4.3.2   The System should be flexible enough so that once the Care Plan has been agreed, the process of searching, selecting and agreeing placements for children looked after should be offered to be controlled through a workflow that includes tasks and decisions required by the allocated Practitioner, Manager and the Brokerage Team. The solution must draw from information contained within plans and assessments.

4.3.3   Once services have been fulfilled the actual costs established, the workflow should indicate financial authorisation. At this point the authoriser must be able to see:

i	The cost of the services being requested (monthly or weekly)
ii	The total cost of all services for this client (if different)
iii	The full annual cost for the services being requested and the effect on next year's budget for the appropriate code
iv	The calculated (original Individual Budget and the updated (agreed) budget, if different.

4.3.4 The Manager should be able to:

i Decline the authorisation and refer the plan back to the Social Worker with appropriate instruction;

ii Approve the expenditure; or

iii Refer the case to a Senior Manager for approval as it exceeds the original Manager's delegated authority level.

4.4 **Early Help**

Minimum Requirements

4.4.1 The System must be capable of case recording for families with Tier 2 through Tier 4 children and must have the capability of "stepping up" from Tier 2, and conversely "stepping down" from Tiers. Statutory returns must be able to recognise and differentiate between Tier 2 and Tier 3/4 episodes to ensure accurate returns.

4.4.2 The Early Help functionality must have a mechanism to capture Early Help Assessment and Plan Form and Team around the child meeting information. Such information could be provided by Education and/or Health professionals in addition to Council Social Care Workers and must be easily shareable between these, agencies and partners.

4.4.3 The System needs to be able to communicate with the system for the 0-19 Integrated Service the Council externally commissions through Torbay and South Devon NHS Foundation Trust. Some existing Council services may transfer to the 0-19 service in the future and the System should ensure easy facilitation of this.

Optional Requirements

4.4.4 More broadly, the System should facilitate the promotion of a culture of collaborative working and sharing of information to improve and track better outcomes for children and their families by providing an ability for partner agencies to have access to case recordings and to contribute directly to assessments, plans and reviews.

4.4.5 On registration of a new client by Children's Social Care, if there is a pre-existing Early Help Assessment and Plan, this should be flagged, and the information should be available to populate the new record, where appropriate.

4.5   **Early Intervention and Troubled Families**

Minimum Requirements

4.5.1   The System must record the primary presenting concerns in accordance with the criteria set out in the Troubled Families Programme Payment-by-Results Scheme for Local Authorities: https://www.gov.uk/government/publications/the-troubled-families-programme-financial-framework**.** It must have the flexibility to alter recording in line with any future Central Government Early Help Programme.

4.5.2   The System must record, support and present the monitoring of intervention outcomes to show the progress being made by the family in line with the payment by results criteria out in https://www.gov.uk/government/publications/the-troubled-families-programme-financial-framework**.** The System must support multi-agency planning and reviews of effectiveness. This must include multi-agency outcomes, received from a variety of partner data feeds. This must be flexible to alter in line with the requirements of any future Central Government Early Help Programme.

4.5.3   The System must be able to import data from Microsoft Excel Spreadsheets and allow for manually adding and editing data on worklessness, over 18s on work programmes, anti-social behaviour, crime, family debt, social landlord name, school attendance and exclusions from out of area schools. The System must have the flexibility to receive data feeds from a range of organisations in line with the requirements of any future Central Government Early Help Programme.

4.6   **MASH**

Minimum Requirements

4.6.1   The System must provide a "ring-fenced" area of the solution which is only accessible to the MASH Team, or those whom the MASH Manager enables. It is essential that external agencies have secure access to the System (schools, police, health etc.).

4.6.2   The MASH Duty Social Worker must be able to set a RAG Status (4 hours, 8 hours, 24 hours response respectively). It should be possible to set up a workflow this short-term caseload with appropriately timed alerts - the timing to be configured locally.

4.6.3   Once the MASH Team have reviewed all available information, made a decision, the Outcome has been recorded and the MASH instance has been closed (NFA, stepped down or referred), the Outcome and associated reasoning must be locked down and not editable.

4.6.4   The System must have the ability to forward referrals, within the System, to the relevant team and this must include all data captured by the MASH Team and any documents passed to them. This should also include the potential not to make visible any document information owned by an agency to the receiving team where this has been supplied was provided only to enable the MASH Manager to make an informed decision and must not be shared more widely.

4.6.5   It follows that the System must be able to have a high security storage facility in addition to standard security, such that when an agency is asked for any

intelligence they have on the subject (or the subject's close family) they can provide it in one of two ways: either to a discrete, secure area accessible to only a few (and not any other agencies) or more widely to the MASH Team, and subsequently other social care teams. Potentially this information could also be shared with other partner agencies.

4.6.6   The System must have the ability to record management decisions on assessments that the social worker working on the case is able to view.

4.6.7   It must be possible to break out of, or suspend, the MASH workflow and enter the Section 47 / Child Protection workflow at any time.

4.6.8   There must be a comprehensive reporting facility which at least enables the reports required by the authority or collectively through safeguarding arrangements.

Optional Requirements

4.6.9   When the family cannot be immediately contacted re consent to share, the MASH Team may carry out a safe and well visit – it should be possible to build this into the workflow which should show when this is required and when it has been done and the information captured.

4.6.10   The MASH Team will undertake the necessary screening and triage, and for those cases which appear to meet the threshold will carry out the initial investigation work. Any of this initial information captured should be available to Social Workers - even after the MASH episode has closed.

4.6.11   Where the case is stepped down to the Early Help, all the information recorded thus far should be available to them via the Early Intervention module.

4.6.12   It must be possible to amend the RAG status, and the workflow/alerts should then change automatically.

4.6.13   Details of the case should be made available via the System to all of the agencies within the MASH unit that the MASH Duty Social Worker believes may be able to contribute, whether or not they are co-located, and there should be some form of alert to the agencies that a new case has "arrived in their in-tray".

4.6.14   The agencies should be able to respond by adding details to a form and/or by sharing documents (electronically) with the MASH Team and alerting them that they have finished their contribution.

4.7   **Contact and Referral**

Minimum Requirements

4.7.1   The System must have the ability to record an initial contact within the System.

4.7.2   The System must have the ability to view a list of historic contacts / referrals and be able to drill down to the detail of these forms.

4.7.3   The System must automatically identify if a case is re-referred within 3 months and the team and worker which held the case.

4.7.4   The System must have established reporting on contacts and referrals.

4.7.5   The reporting availability must provide for collation of information on source of contact, linked to outcome of contact and referral.

Optional Requirements

4.7.6   The System should be able to show referrals to other agencies by selected start and end dates.

4.8   **Assessment, Strategy Discussion and S47**

Minimum Requirements

4.8.1   The System must be capable of recording the details of Child Protection enquiries and enable notifications of enquiries to key personnel. The same family solution must be available to workers to record and tailor investigations across multiple linked siblings.

4.8.2   The System must ensure that assessments and S47 enquiries cannot be completed unless it is recorded that the child in question has been seen, unless overridden by a manager who must record a reason.

Optional Requirements

4.8.3   An authorised Practitioner should be able to set the required timescales for assessment completion, and potentially, after consultation, update these timescales. It should be possible to require that either of these steps requires approval. The System needs to maintain an audit of timescale changes and reasons and this data must be reportable whilst the assessment is still in 'draft' status.

4.9   **Child in Need, Child Protection and Safeguarding**

Minimum Requirements

4.9.1   There must be a clear indication on the Child summary (mentioned earlier) that the child is subject to Child Protection (CP) and there must also be a clear record of any historic periods of CP on the child's record.

4.9.2   When the child(ren) are deemed no longer subject to Child Protection, the System must address this and adjust for the actions expected from allocated workers. It would be beneficial if actions could be carried forward from CP plans into CIN plans as required if the child was to become CIN.

4.9.3   The System must provide for the CP-IS (Child Protection Information Sharing) initiative being run by the NHS.

4.9.4   The System must enable reports to be produced to show whether the frequency of social work visiting as set out in the child protection plan, is compliant.

Optional Requirements

4.9.5   The System should be able to record and produce documents for reviews/visits and automatically trigger next action(s) with appropriate timescales and approvals, including (but not limited to) Review Conferences, Statutory Visits, Core Group Meetings. The stipulation of the frequency of visits required should be able to be set against individual children covered by a protection plan and report on an individual child visiting pattern. The reminders and activities should be set against these parameters.

4.10   LADO/MAPPA/MARAC

Minimum Requirements

4.10.1   The System must provide the functionality to manage and securely maintain information about allegations against staff, partners, organisations and carers. This includes investigations and outcomes as recorded by the LADO.

4.10.2   The System must also store the organisation, where appropriate, of the alleged perpetrator and enable reporting to look for trends or patterns.

Optional Requirements

4.10.3   It would be helpful if the System functionality included the ability to manage and securely maintain MAPPA and MARAC details and outcomes. This includes the ability to either generate specified reports of the progress of children following referral to MARAC.

4.11   Child Sexual Exploitation and Missing Child/Trafficked

Optional Requirements

4.11.1   It would be helpful if the System includes a solution for capturing and reporting on children subject to sexual exploitation and who go missing. It would be beneficial if the solution includes the facility to report and track these cases, sharing the information with partners.

4.11.2   Pre-Proceedings

Minimum Requirements

4.11.3   The System must include the functionality to monitor and track all activities on cases which are in pre proceedings or subject to court process. This could be provided in the form of a workflow. The System must also allow for the ability to link children through court numbers. It would be beneficial if this functionality included predesigned tracking reports on these children.

4.12   Looked After Children/Children in Care

Minimum Requirements

4.12.1   The System must be able ensure all data items for statutory returns are captured and validated and are in the correct format for the SSDA903 return. The Supplier must ensure that changes to statutory data requirements are addressed in time for the return.

4.12.2   The System must be able to record and produce documents for reviews and visits and automatically trigger next action with appropriate timescales and approvals, including (but not limited to) Reviews, Statutory Visits, Health Visits, Personal Education Plans.

4.12.3   There must be a clear indication on the Child Summary (mentioned earlier) that the child is looked after and there must also be a clear record of any historic periods of the child's looked after history on the child's record I.e. type of placement, placement dates, carer details and any breaks in placement. The system must also identify if the circumstances of the child who is looked after under short breaks qualifies to be considered under regulation 48 as a looked after child without the need for manual intervention.

4.12.4   The System must provide triggers to appropriate staff when a child is accommodated (for the first time) or changes placement, e.g. LAC Nurse, Virtual School Head. It would be beneficial if in the delivery of these specific functions Health employed staff could access and enter the required health assessments to a child's record. Would be ideal if information could be used to trigger a referral for an initial health assessment or review health assessment or appoint health visitor.

4.12.5   The System must have the ability to record where children are missing/where there is unauthorised absence from residential and foster care, when they return, and details of the return interview need to be recordable.

Optional Requirements

4.12.6   The System should allow the creation and maintenance of court-specific reports for Care Proceedings. These reports are the Care Plan, Chronology and Single Assessments, Genogram, Viability Assessments, Statements, Parenting Assessment and Pre-Proceedings Letters for children and young people.

4.13   **Leaving After Care**

Minimum Requirements

4.13.1   The System must support the management of children and young people as they move out of care, particularly managing cases of care leavers including, visiting patterns, pathway plan and review process, destinations, educational outcomes, and any relevant financial information 19th birthday contact etc. in conjunction with statutory returns.

4.13.2   The System must facilitate the automatic identification of eligible care leavers, for example, Relevant; Former Relevant; Qualifying; Other. The system must allow for the recording of accommodation suitability and employment status.

4.14 Private Fostering

Minimum Requirements

4.14.1 The System must be able to maintain the Private Fostering Arrangement Assessment Record (PFAAR).

4.14.2 The System must allow the creation and maintenance of all data included in the Private Fostering Arrangement Assessment Record – Visit Under Regulation 8 (PFAAR REG8) form.

4.15 Foster Carer and Adoption Recruitment

Minimum Requirements

4.15.1 The System must support the process of recruitment and assessment (including panel approval) of potential foster carers and adopters and report against the Fostering and Adoption data set. In particular, but not limited to:

    i   Recording of enquiries

    ii   Provision of information and training

    iii   Recording of checks

    iv   Recording of assessment forms

    v   Approvals

    vi   Panel Meetings

    vii   Reviews

4.15.2 The System must support the ability the recording of a carer/adopter household without the need for copying from one carer record to another and the delineation of; connected carers from foster carers; foster to adopt carers; secondary carers from main carers; carers who are inactive from active ones.

4.15.3 The System must provide the facility to record training qualifications, annual reviews, DBS's and medical assessments and these must generate reminders to allocated workers. It would be beneficial if relevant activities could also be posted to a Microsoft Office 365 Calendar.

4.15.4 The System must have the ability to produce a list of all placed children within a foster home, including start and end dates. Placements must also include any temporary stays. Online reports must be available to identify the numbers of places used verses availability. This should be based on the potential approved capacity and flag if this has been temporarily increased.

Optional Requirements

4.15.5 The System should have a facility to record general information about foster carers in a secure environment, not viewable to those outside the Foster Carer Team.

4.16 Adoption

Minimum Requirements

4.16.1　Adoption cases and actions leading to the adoption must be addressed within a distinct workflow that forms part of a wider permanency planning flow (see items below in this section). Progress of work in support of adoptions must include the key dates and decisions including: the date of decision that a child should be placed for adoption; date of matching; date of placement order; date of adoption order; date of decision that child should no longer be placed for adoption and the reason(s); date of fostering to adopt placement; date of latest adoption support assessment.

4.16.2　The System must be able to make viewable core documents and activities as required by the Regional Adoption Agency to deliver its core functions of family finding and management of panels.

4.16.3　The System must ensure that information held relating to birth and adoptive parents is managed sensitively and with care. The System must:

　　　i　　　Ensure the details of prospective adoptive parents are correctly managed pre-placement and restricted to the relevant parties

　　　ii　　Ensure that details of birth parents are correctly managed post-placement and restricted to the relevant parties

　　　iii　　Keep audits when post-placement details and closed adoption cases are retrieved

4.16.4　The security measures within the system must meet the legislative requirements for a child's adoption record.

4.16.5　The System must be able to support the creation and maintenance of the updated Adoption Plan, LAC Review and new Adoption Plan Review forms and ensure that correct review processes are followed.

4.16.6　The System must be able to support the creation and maintenance of the approved Child's Permanence Reports.

4.16.7　The System must support the management and care of children and young people where they are being considered for adoption involving a foreign element, where a child is being taken out of the United Kingdom.

4.16.8　The System must be able to maintain a Care file and an Adoption file in parallel. When the Adoption file is locked, the Care files should remain open.

4.16.9　Locked Adoption files must be accessible to only restricted users i.e. responsible social worker and team manager. This includes: Special Guardians, Viabilities, Child Arrangement Orders, Private Law Assessments and Recording.

4.17　**Children with Disabilities**

Minimum Requirements

4.17.1　The System must be able to record details of a child's disability(ies)/conditions and the support, including payments, respite care and equipment provided.

4.17.2   The System must have a facility to add a child to the Council's disability register, and to subsequently maintain that register.

4.17.3   The System must be able to calculate a Personal Budget using an inbuilt RAS calculator.

4.17.4   The System must be able to record the number of nights a child spends in short breaks but distinguish these from children in care placements.

4.17.5   The System must have the ability to administer direct payments.

4.17.6   The Children & Families Act requires greater sharing of information between health and social care. There must be a Roadmap plans for managing Education, health and care plans.

4.17.7   The System must have the ability to record an OT assessment, plan and review process.

4.17.8   It must be possible to record other specialist assessments, for example Sensory Assessments and Continuing Care Assessments (using a Health Template).

4.17.9   The Disabled Children's Team can de-escalate cases where no further Social Care involvement is required. However, S17 services/payments are in place and Education colleagues annually review the cases as they are still classed as CIN. This is further supported by a Panel which may approve any additional service provision identified.

4.17.10 It must be possible to create a Transitions Plan which can be viewed by staff in Adults Services and Children's Teams.

4.18   **Financial Functionality**

Foster Carer Payments and Other Children's Services-Specific Requirements

Minimum Requirements

4.18.1   The System must facilitate the payment of Foster Carers and provide an appropriate interface into Oracle V12.1 (or higher/later versions) in order to transfer Accounts Payable invoices, relevant payment data and commitments.

4.18.2   The System must have the facility to document Financial Assessments of Carers, potentially linking to a RAS, in order to calculate a standard payment schedule of payments e.g. Birthdays, one-off allowances.

4.18.3   The System must link payments to the Child's record and/or Foster Carer record so it can be kept updated.

4.18.4   The System must provide for automatic or manual adjustment of the amount owing if a Carer pays back in instalments.

4.18.5   The System must address authorization of payments, including audit trail and notification of payment runs.

4.18.6   The System must allow for the storing and reporting of general ledger codes and ability to change these as and when required.

4.18.7 The System must provide a facility to reduce a fixed amount from the Foster Carer, or provider payments which will be invested in a Child's Savings Account, with appropriate reporting facilities.

Direct Payments

4.18.8 The System must be able to hold information on payments to Carers to meet their own assessed needs in accordance with 'The Carers and Disabled Children Act 2000'.

4.18.9 The System must record the conditions of acceptance of direct payments included acceptance by clients and/or their advocates, details of the accounts to which payments are to be made and details of any advocates empowered to act on behalf of clients.

4.18.10 The System must be able to identify and mark client accounts for review according to risk level, recording findings of audit review and dates of next review to support planning.

4.18.11 The System must record and retain the details of all payments over the duration of the client's support and must be able to produce historical payment reports.

4.18.12 In relation to overpayment recovery, any negative adjustments to future DPs must be capable of being calculated retrospectively and reduce future payments over a specified number of payments for a specified period.

4.18.13 The System must be able to pay traditional direct payments based on hourly calculations as well as new Self Directed/Personal Budget cash payments based on a fixed or variable user defined amount (i.e. not linked to hourly rates).

4.18.14 For Children's Direct Payments, there must be a facility to record two different direct payments for the same client but using two difference reference numbers.

4.18.15 There must be a mechanism to enable the Council to periodically process refunds from Client's unspent Direct Payments.

Other Requirements

4.18.16 In addition to paying Foster Carers (i.e. people and not organisations), there must be a method of paying Young People (clients) one-off or scheduled payments i.e. for example support for those leaving care.

4.18.17 There must be a facility to undertake a Special Guardianship Financial Assessment (in respect of prospective Adopters). The assessment and calculation methods should be locally configurable.

4.18.18 The System must manage Section 17 Funding.

4.18.19 The System must provide oversight of activities such as specialist summer holiday plans, out of school activities etc., and their financial impact.

Standard Documents and Reporting

4.18.20 The System must provide the functionality to enable Practitioners to create standard letters for clients and general outputs for clients and/or users and managers, based on the active client's data e.g. for Foster Carers, a configurable Statement of Earnings Report, Payment Remittance Advices.

4.18.21 Standard letters must be capable of bulk production and be populated by System data.

4.18.22 The System should must a suite of statutory documents in respect of deputyship and safeguarding requirements.

4.18.23 As specified elsewhere in Finance, documents must be capable of being indexed and stored in the appropriate location in the System's document management area.

4.18.24 The System must be capable of analytical reporting against all elements of data and any combination therefore to produce financial reports across periods, but client or group, by supplier or service type etc.

4.18.25 The System must provide the facility to enable the reconciliation of client and provider financial data with payments raised to ensure no duplication occurs.

Service Ordering and Brokerage

4.18.26 The System must be flexible enough so that once the Care Plan has been agreed, the process of searching, selecting and agreeing placements for children looked after should be offered to be controlled through a workflow that includes tasks and decisions required by the allocated Practitioner, Manager and the Brokerage Team. The solution must draw from information contained within plans and assessments.

4.18.27 The System must provide picklists for service type e.g. transport, respite care etc.

4.18.28 Once services have been fulfilled and the actual costs established, the workflow should indicate financial authorisation. At this point the authoriser must be able to see:

    i   The cost of the services being requested (monthly or weekly)

    ii   The total cost of all services for this client (if different)

    iii   The full annual cost for the services being requested and the effect on next year's budget for the appropriate code

    iv   The calculated (original Individual Budget) and the updated (agreed) budget (if different)

4.18.29 The Manager must be able to:

    i   Decline the authorisation and refer the plan back to the Social Worker with appropriate instruction;

    ii   Approve the expenditure; or

    iii   Refer the case to a Senior Manager for approval as it exceeds the original Manager's delegated authority level.

Children with Disabilities

4.18.30 The System must be able to record details of a child's disability(ies)/conditions and the support, including payments, respite care and equipment provided.

4.18.31 The System must have a facility to add a child to the Council's Disability Register, and to subsequently maintain that register.

4.18.32 The System must be able to calculate a Personal Budget using an inbuilt RAS calculator.

4.18.33 The System must be able to record the number of nights a child spends in short breaks but distinguish these from children in care placements.

4.18.34 The System must have the ability to administer direct payments.

5. Data Protection, Information Sharing and Information Security

Minimum Requirements

5.1 The Applicant should confirm if it holds any accreditations or certifications relating to the ICT systems used in the delivery of its services e.g. ISO27001 and provide a statement of applicability.

5.2 The Applicant should confirm:

5.2.1 The frequency that performance review of security controls is undertaken;

5.2.2 The policy in place in relation to access control which ensures information is only available to system users that require access;

5.2.3 The security measures implemented in locations where data storage and processing occur;

5.2.4 The policies, procedures and controls in place to ensure boundary protection is in place on all systems which a connection to an untrusted network; and

5.2.5 The policies, procedures and controls in place to ensure processing takes place from hardware and software which has a documented secure baseline and configurations are regularly reviewed for non-compliance against the baselines.

5.3 The Applicant should confirm the frequency of penetration testing.

5.4 The Applicant should confirm whether it retains audit logs which record privileged user access activities, authorised and unauthorised access attempts, security exceptions, and information security events and if so, how long these records are retained.

5.5 The Applicant should confirm how it gains assurance that delivery partners and third-party suppliers are company are compliant with your security policies.

6. Added Value

The Applicant will be expected to suggest as part of its response to the Evaluation Questions any additional products or services that they may be able to offer as part of this Contract or any other added value that their offer might be able to bring to the Authority. Applicants are expected to build any such offers into their submissions regardless of whether specific questions are asked along these lines or not.

7. Scope and Nature of Possible Modifications or Options

7.1 The Council anticipates that in the future there may be a requirement for the System to be expanded to cover other departments such as Adult Services and Education.

7.2 The Council anticipates that in the future the System may be required to be expanded to incorporate other Local Authorities.

7.3 As Early Help advances the Council hope to provide an integrated system where Practitioners and Families can seek advice for themselves (currently provided by the Family Information Service and interactive threshold tool) and also view the help they are receiving via a Client Portal.

7.4 Changes in legislation that require additional functionality.

8. Awarding the Contract on Behalf of Other Contracting Authorities

The Council is not currently purchasing on behalf of other contracting Authorities; however, Applicants should be aware that Plymouth City Council and Torbay and South Devon NHS Foundation Trust may wish to become parties to this contract at a later date.

9. Appendix A - Overview of Current System

The Council currently used this PARIS Health and Social Care System from Civica for its Children's Services Social Care.

Parts of this system originally went live in 2005 and this was later expanded to include all of the Council's Adult and Children's Social Care with the data originally migrated from the Council's SSID system. There are currently approximately 400 active user accounts, both internal and external, with approximately 100 user accounts currently designated as read only.

Examples of external users currently accessing the system include, but are not restricted to, the Torbay and South Devon NHS Foundation trust, local Police and Probation Services, Torbay Education establishments and Adoption South West (regional adoption agency).

PARIS has interfaces to a number of other Council systems such as an in-house finance system, data warehousing and reporting systems and utilises third party software, e.g. for reporting from within PARIS (Crystal Reports) and system address lookup (Experian QAS). The Council's PARIS system has a large number of both historic and current user defined forms, across many PARIS modules, which have supported Torbay Council's Children's Services working practices since the original go live (pre-ICS, ICS and post-ICS), changing statutory requirements and other locally specific purposes over the years.

The original PARIS system was divided some six years ago between Children's Services and Adult health and Social Care into two completely separate systems.

Torbay TFM-CHAF is an in-house application developed to handle Foster Carer payments and stands between the PARIS system and Torbay's Finance system. It holds historic data for the last 6-7 years in addition to current fostering claims and payments.

Any data cleansing exercise or data migration, as part of a new system implementation, will therefore be required to remove or ignore the historic adult social care data whilst including both historic and active child cases.

It is the intention that all Child Social Care data will be transferred into the replacement system.

The current size on disk of the PARIS data is approximately 320GB held in an Oracle database hosted locally with approximately 200GB being documentation uploaded into the system.