

**ICT17041**

**Supply of Youth Offending Case Management System and Associated Services**

**Agenda for Soft Market Testing Exercise**

**Supplier Day**

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# Definitions and Abbreviations

The following definitions and abbreviations are used throughout this documentation:

|  |  |
| --- | --- |
| **Term** | **Description** |
| **AssetPlus** | means an assessment and planning interventions framework developed by the YJB to replace Asset and its associated tools. AssetPlus has been designed to provide a holistic end-to-end assessment and intervention plan, allowing one record to follow a child or young person throughout their time in the youth justice system. Further information can be found at :  <https://www.gov.uk/government/publications/assetplus-assessment-and-planning-in-the-youth-justice-system/assetplus-assessment-and-planning-in-the-youth-justice-system> |
| **Associated Services** | means services offered by the organisation that enables the Council to make full and best use of the Solution including, but not limited to, bespoke software development, training, installation, implementation, consultancy, account management, support and maintenance. |
| **Bail Recommendation Stage** | means information recorded within AssetPlus by the YOS and sent to the YCS Placement Team if a young person is at risk of being remanded into custody. |
| **Contract** | means the legally binding agreement entered into between the Council and the contractor incorporating the successful Tenderer’s response. |
| **Council** | means Derbyshire County Council. |
| **Data Protection Legislation** | means the Data Protection Act 1998, the EU Data Protection Directive 94/46/EC, the Regulation of Investigatory Powers Act 2000, the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000, the Electronic Communications Data Protection Directive 2002/58/EC, the PECR, the General Data Protection Regulation ((EU) 2016/679), and all applicable laws, implementing laws (where relevant) and regulations and secondary legislation, as amended or updated from time to time, in the UK, relating to processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner. |
| **Due North** | means the organisation which hosts the Council’s electronic tendering system. |
| **Invitation to Tender** | means the issuing of documentation by the Council in respect of the competitive tendering stage of this procurement, and shall include without limitation the Tender Documents. |
| **Post Court Report Stage** | means information recorded within AssetPlus by the YOS and sent to the YCS Placement Team once a young person has either been sentenced or remanded into custody. |
| **Social Value** | meansthe economic, social and environmental well-being of the relevant area (Derbyshire) the ways in which what is proposed to be procured might improve the economic, social and environmental well-being of the relevant area, as detailed in the Public Services (Social Value) Act 2012 <http://www.legislation.gov.uk/ukpga/2012/3/enacted>. |
| **SMT** | means Soft Market Testing - a process of obtaining information and identifying gaps in knowledge ahead of developing a tender specification. |
| **Solution** | means a description of the goods and services, including without limitation any software, hardware and equipment, bespoke software development, data migration, training, installation, implementation, consultancy, maintenance and support and exit services supplied under the Contract. |
| **SQL** | means Structured Query Language, a programming language used to manage data held in a relational database. |
| **Supplier Day** | means the opportunity for suppliers and the Council’s project team to meet and share information regarding the System available and the project. |
| **System** | means the software application and components, including any third party products. |
| **Tenderer** | means any person or public entity or group of such persons and entities, including any temporary association of undertakings, which offers the supply of products or the provision of services on the market and has submitted a Tender Response to the Council in response to an Invitation to Tender. |
| **User** | means a collective term to describe Council or Derbyshire Constabulary, Derbyshire Probation Trust and NHS Derbyshire employees, who are authorised to access information or use the System. |
| **YCS** | means the Youth Custody Service. |
| **YCS Placement Team** | means the YCS team which has a key statutory function to place children and young people under the age of 18 who have been remanded or sentenced by a court into youth detention accommodation. The placement decision is based on information provided by the YOS. |
| **YJB** | means the Youth Justice Board, a public body, sponsored by the Ministry of Justice, responsible for overseeing the youth justice system in England and wales. |
| **YOS** | means the Derbyshire Youth Offending Service, a partnership between the Council’s Children’s Services Department, Derbyshire Constabulary, Derbyshire Probation Trust and NHS Derbyshire which supervises and supports young people aged 10 to 17 who have committed offences, and works with them to help prevent further offending. |
| **Y2A** | means the Youth to Adult portal, a web-based application used to securely transfer information between a range of organisations within the criminal justice system. |

# Introduction

* 1. The Council wishes to hear from organisations willing to share information about Youth Offending Case Management Systems to gauge the likely level of interest in the project from the market. This will enable the Council to share information with suppliers about its requirements and to gain a better understanding of the Systems available, the ways in which they could be supplied, an indication of the likely costs, and help determine the most effective way of packaging and scoping its requirements for any future procurement opportunity. As such the Council is undertaking this SMT exercise to engage with suppliers and share information.
  2. This exercise will be undertaken with interested suppliers initially through a Supplier Day.
  3. The Council will hold 4 Supplier Days on a one to one basis with a maximum of 4 suppliers. The Supplier Days will be held on 5th / 6th / 13th and 14th December 2017 – at 1:30pm to 4:30pm (2:15pm to 5:15pm for the 14th). Please arrive at County Hall fifteen minutes prior to the start time, at 1:15pm (or 2:00pm on 14th December). Each session will last approximately 3 hours maximum.
  4. The sessions will be allocated on a “first come first served” basis and these are the only sessions the Council is able to offer. From the dates and times offered, please indicate your 1st and 2nd preferred slots through the Council’s electronic tendering system. Your slot will be confirmed by the Council.
  5. Following the Supplier Day the Council will review the information provided and may seek clarification if required.
  6. This Supplier Day will be undertaken through open dialogue in the form of 1-2-1 sessions. Information received from all parties will be treated as commercially confidential. Any information provided by the Council regarding its requirements will be shared with all suppliers in the interests of transparency and fairness. Participation in this exercise is for information only and will not form part of any scored evaluation.
  7. Participation in Supplier Days, including information provided by organisations as part of these sessions, is undertaken entirely at the risk and cost of the organisation. The Council will not be liable for any costs, expenditure, losses, work or effort incurred by any organisation or third party participating in this exercise.
  8. This SMT exercise does not commit the Council to award any Contract, nor does it constitute an offer (implied or otherwise) to enter into any contractual relationship.
  9. If an organisation considers that any of the information included within its response is either commercially sensitive or confidential in nature, you should identify it specifically and explain the grounds for exemption from disclosure in accordance with the Freedom of Information Act (FOIA) 2000 or the Environmental Information Regulations (EIR) 2004; using the accompanying FOIA Disclosure Form in Appendix D and submitting this via the messaging feature of the e-tendering system prior to the Supplier Day. The organisation should note that even where they have indicated that they consider the information to be commercially sensitive or confidential in nature, the Council may be required to disclose it under FOIA or EIR and the Council will be the final arbiter on such matters.
  10. Where there is any indication that a conflict of interest exists or may arise then it shall be the responsibility of the organisation to inform the Council in writing.
  11. For the avoidance of doubt, this SMT is an exploratory exercise to determine feasibility and not a call for competition. It does not constitute any commitment by the Council to undertake a procurement exercise. Organisations are not prejudiced by any response or failure to respond to this SMT exercise. Should the Council subsequently decide to undertake a procurement exercise, it will be carried out in accordance with the Public Contracts Regulations 2015. Please note that a response to this SMT does not guarantee an invitation to participate in any subsequent procurement.

# Supplier Day Instructions

* 1. Supplier Days will be held between on 5th, 6th, 13th and 14th of December 2017 at County Hall, Matlock, DE4 3AG and will involve a supplier presentation/demonstration covering the agenda in Appendix A.

Once you have indicated your 1st and 2nd preferred slots through the Council’s electronic tendering system (as detailed in 2.4), you will be notified of the specific date allocated to your company via the electronic tendering system and within 12 hours from the receipt of your request.

* 1. Please confirm your participation in this SMT exercise and advise your 1st and 2nd preferred slots as soon as possible, together with any equipment needed such as a projector, but in any case by no later than **12:00pm on 24th November 2017** through the Council’s electronic tendering system. Please include the names and number of attendees (maximum of 3).
  2. The information provided by the Council should assist you in producing your presentation. Should you require any clarification relating to the information supplied or the SMT process itself, please submit your questions through the ‘messaging’ feature of the Council’s electronic tendering system by **28/11/2017**. All questions and responses, which are considered by the Council to be of a substantive nature, will be formally distributed in a query log to all respondents.
  3. Any questions that are of a sensitive nature must be clearly identified as such on submission. This will then be taken into account by the Council in deciding how to distribute the question and response. All questions will be considered by the Council and, where appropriate, responses shall be provided by **5:00pm on** **30/11/2017**. However, the final decision to answer any question shall be solely at the discretion of the Council.

3.5 **Please provide details of the insurance levels that you have for the following:**

* **Public Liability;**
* **Product Liability;**
* **Employer Liability;**
* **Professional Indemnity; and**
* **Cyber Liability.**

**Details should be included in your presentation documentation and distributed to the Council as per Paragraph 1.3 of Appendix A.**

3.6 In the event of an emergency only, if you have any queries that cannot be submitted through the electronic tendering system, please contact:

Name: Graeme Unwin

Email: Graeme.unwin@derbyshire.gov.uk

Telephone: 01629 536869

# Derbyshire County Council

4.1. The Council is represented by 64 elected members who are elected every four years. Elected members are democratically accountable to residents who live in their electoral division.

4.2. The Head of Paid Service and the Strategic Directors form the senior management team; responsible for delivering a variety of services to the local community across Derbyshire.

4.3. The Council departments are:

* Adult Care;
* Children’s Services;
* Commissioning, Communities and Policy; and
* Economy, Transport and Environment.

Further information can be found at [www.derbyshire.gov.uk](http://www.derbyshire.gov.uk).

# Requirement Overview

* 1. The Council’s Children’s Services Department is responsible for education, social care, early years and youth services for children, young people and their families.
  2. Derbyshire YOS is a partnership between the Council’s Children’s Services Department, Derbyshire Constabulary, Derbyshire Probation Trust and NHS Derbyshire. The YOS works with partners to achieve the YJB strategic objectives of:
* Preventing offending;
* Reducing reoffending;
* Increasing victim and public confidence; and
* Ensuring the safe and effective use of custody.
  1. The Crime and Disorder Act requires local authorities to publish a Youth Justice Plan outlining how their Youth Justice Services will be delivered. The Council’s latest plan, and further information about the Council’s YOS can be found at:

<https://www.derbyshire.gov.uk/social_health/children_and_families/youth_offending_service/default.asp>

* 1. The YOS currently uses a case management system called ChildView, supplied by CACI Limited, for recording details of young people who enter the Criminal Justice System or are on the cusp of offending and require preventative work*.* The functionality of the system includes:

1. Recording information including personal details and the young person’s journey through the youth justice system including their involvement with the YOS and details of the nature of the interventions undertaken;
2. The production of reports, and detailed assessment (known as AssetPlus);
3. Recording details of victims where consent is given and recording the contact between the victim and the YOS Victim Liaison Officer;
4. Creating records for parents where a parenting order is given by the court or a programme of voluntary work is carried out with the parent;
5. Creating various documents within the system that comply with a YJB scheme that can be sent securely from the system to the YJB;
6. Transferring AssetPlus and other documents between Youth Offending Services when young people move areas;
7. Local and statutory reporting; and
8. Creating a mandatory case level of anonymised data quarterly which is submitted to the YJB.
   1. The contract for the current case management system is due to expire on 31st March 2019 and following the procurement, it is anticipated that the Solution will be in place for an initial Contract term of 2 years with options to extend on an annual basis to take the term up to a maximum Contract term of 5 years.
   2. The Council is looking to procure the Solution of a company able to provide a Youth Offending Case Management System, together with Associated Services to ensure the effective running and management of the System, by providing:
9. The essential functionality requirements as outlined above in 5.4;
10. Contract implementation – including project management, design, planning, configuration and installation of the new system;
11. Data migration – from the current system to the new system;
12. Training – during implementation and throughout the contract duration; and
13. System support and maintenance.

# Appendix A Agenda for Supplier Day

1. **Instructions**
   1. Please be prepared for an interactive discussion covering the areas of functionality described in this SMT document, giving examples of your experience of comparable projects.
   2. The time limits suggested under each agenda item are the maximum times available and have been provided to assist in ensuring all agenda items are covered within the 3 hours available (including a break).
   3. Please provide 16 hard copies of your presentation on the Supplier Day, making an electronic copy available to the Council following the presentation, via the messaging feature of the e-tendering system.
2. **Introduction**

**Maximum 10 minutes to be spent on this section**

* 1. Please provide a brief overview of your company and your experience of providing Youth Offending Case Management Systems.

1. **Youth Offending Case Management System**

**Maximum 50 minutes to be spent on this section, including questions.**

Please describe and demonstrate how your System would help the Council comply with its legislative requirements to provide a YOS, in the following areas:

**YJB Compliance**

* 1. How the System meets the current data recording requirements as stipulated by the YJB*;*
  2. How the System supports the Council’s compliance with YJB national standards;
  3. How you maintain compliance with YJB national standards as legislation changes occur;

**AssetPlus**

* 1. How Asset Plus is presented and recorded within the System;

**Integration**

* 1. How the System communicates with other YJB approved case management systems, for example, when transferring a case to another youth offending team’s system, and sending documentation securely to the Probation Service via the Y2A portal;
  2. How the System can be integrated with other Children’s Services systems, for example Servelec Corelogic’s Frameworki / MOSAIC systems and the CCIS and Youth Activity modules of C:Vision’s (formally CareerVision’s) Core+ system;

**Reporting**

* 1. How your System would enable Council staff to extract data securely from the System, in suitable formats, to enable the Council to interrogate and produce local and statutory reports including:
     + Standard reporting functionality;
     + Functionality to create configured bespoke reports; and
     + YJB reporting requirements.
  2. The Council’s strategic approach to business intelligence and reporting across Children’s Services is to schedule extracts of information directly from core systems into reporting tables held within SQL. These systems include the Council’s case management solution and central pupil database. This information is linked together, where applicable, to provide a holistic view of children and young people, and utilises SQL Server Reporting Services to deliver reports to end users to support operational practice, statutory returns, inspection preparation and performance management. Please explain whether your System would support this approach.

1. **Scenario**

**Maximum 10 minutes to be spent on this section, including questions.**

* 1. Please demonstrate how your System could accommodate the following scenario:

A young person has been produced to court on a Saturday morning and is at risk of being remanded to custody. He may not be known to the YOS so is not on the case management system, or is already known to the YOS but these are new offences so are not on the case management system. In each case the youth offending team worker needs to create a Bail Recommendation Stage and a Post Court Report Stage to send to the YCS Placement Team, preferably without having to create a case from scratch and record all of the associated information first.

1. **Delivery and Implementation**

**Maximum 15 minutes to be spent on this section, including questions.**

* 1. The Council anticipates going live with the System on 1st April 2019 and would like to understand your approach to implementation, including:
     + Suggested timescales and Council resources required;
     + Potential lead times;
     + Installation requirements;
     + Details of data migration, at implementation and exit; and
     + Your recommended Contract term to maximise return on investment.
  2. Please also explain what assistance you would provide pre-implementation to enable the Council to configure the System to their requirements.

**Break (10 minutes)**

1. **Training and Support**

**Maximum 15 minutes to be spent on this section, including questions.**

**Training**

* 1. Please explain the training you would provide during the course of the contract at both pre-and post-implementation stages and include detail of the following:
     + Types of training offered – online / train the trainer / training days / training specific to different user roles e.g. for users with enhanced permissions.

**Support**

* 1. Please explain the different levels of support you offer during the course of the contract and include details of the following:
     + Standard support details – helpdesk hours / online help facility;
     + Any enhanced support details; and
     + Standard Service Levels and your approach to Service Credits.
  2. Please describe your approach to system updates and patches giving information on the following:
     + Method of application for an on premise system – remote / engineer on site etc.; and
     + The likely frequency of updates.
  3. The Council operates a development/QA environment for training and for testing System updates. Please confirm that the Council would be able to move and anonymise data from the live environment to the development/QA environment.

1. **System Specification**

**Maximum 15 minutes to be spent on this section, including questions.**

* 1. The Council has yet to determine the best form of hosting for this requirement; whether it should be on premise or hosted.
  2. Please outline the hosting options available for your System and explain the implications (advantages and disadvantages) for each option including any limitations or restrictions.
  3. If you can offer an on premise System, please explain the infrastructure and equipment requirements and confirm that the System would be compatible with the Council’s infrastructure (see Appendix B Technical Infrastructure). In addition, confirm the RDBMS version & edition required to run your software (e.g. SQL Server 2016 Standard Edition).

1. **Licensing**

**Maximum 5 minutes to be spent on this section, including questions.**

* 1. The Council would be interested in having flexibility around the licensing of the System. Please provide detail of the licencing options for your Solution e.g. concurrent, per user or device, subscription, perpetual, enterprise/site licencing.

1. **System Security**

**Maximum 15 minutes to be spent on this section, including questions.**

* 1. The section will be led by the Council’s Audit Services section and Information Security Team. This is an opportunity for both parties to discuss the Council’s guidance in Appendix C Audit Guidance.
  2. Derbyshire County Council has achieved certification against all controls within the complete ISO27001:2013 standard. The Council is also required to comply with the Cabinet Office regulations enabling connection to the Public Service Network (PSN) to utilise that network for email. The Council seeks a level of information security assurance for both Council and personal data which is compliant with current Data Protection Legislation, future General Data Protection Regulations and Information Security best practice.

Please confirm that your Solution will not compromise the ability to maintain the information security levels, by outlining your security standards in relation to the above paragraph.

As a guide, the Council requires an explanation of whether the following are possible and to what standard/degree:

* + How user roles and how distinct segregation between differing roles is maintained;
  + How authentication methodology, access credentials and password complexity are configured and maintained and whether the System supports two factor authentication;
  + What System auditing options are available;
  + What encryption protocols/standards are applied to data, both in transit and rest and when backed up; at the hosting environments, end user device via standard web browsers and software/service;
  + Any relevant backup/restore procedures; and
  + Whether other services/systems need to be procured to facilitate the Solution.

1. **Price Model**

**Maximum 10 minutes to be spent on this section, including questions.**

* 1. Appendix E contains a draft price schedule which the Council is planning to issue with the Invitation to Tender. The price schedule needs to be generic in order to facilitate like for like comparisons between Invitation to Tender submissions.
  2. The Council would appreciate your comments on the clarity and practicalities of completion of Appendix E Price Schedule to meet the Council’s requirements, including any limitations on its structure.
  3. Please complete the table in Appendix E with all your indicative contract costs and insert details as necessary, for any additional costs that have been omitted from the price schedule. The completed price schedule should be included in your presentation documentation and distributed to the Council as per Paragraph 1.3 of Appendix A.

1. **Social Value**

**Maximum 5 minutes to be spent on this section.**

* 1. The Council has developed a Social Value Procurement Framework, to support its commitment to ensuring Social Value benefits are achieved in any 3rd party contracts for goods and services. The framework can be accessed here:

<https://www.derbyshire.gov.uk/images/Appendix%20B%20Draft%20Social%20Value%20Procurement%20Framework_tcm44-284411.pdf>

* 1. Please describe what economic, environmental or social benefits you would consider able to provide in Derbyshire for this contract; include in your response any examples of where your organisation has incorporated Social Value into a similar contract and the methods adopted for measuring successful achievement. For example, offering work experience/apprenticeships or free mapping licences for communities could contribute to the Council’s outcome ‘A skilled and confident workforce’, or sponsorship/volunteering for local sustainable food initiatives could contribute to the Council’s outcome ‘People supported in hard times’.

1. **Next Steps in the Procurement Process**

**Maximum 5 minutes to be spent on this section.**

1. **Further Questions**

**Maximum 10 minutes to be spent on this section.**

This is an opportunity for both parties to ask any further questions should time allow.

**Appendix B Technical Infrastructure**

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## Introduction

ICT is delivered through the ICT Services team as a central ICT function. ICT Services provides a service to all the Council’s departments to enable the best use of technology and to enable them to deliver their own service plans. The ICT estate includes 7,400 personal computers, the data and voice network covering over 300 locations in Derbyshire, and over 400 servers, many of which are virtualized in a Microsoft Hyper-V environment. The Council operates many software applications for the business, the key ones being:

* Enterprise Resource Planning (ERP) system: ECC v6 from SAP for the Council’s core human resources (HR), payroll and finance system; Electronic Orderpoint system SAP SRM v7.3;
* Office 365 from Microsoft for email and associated services
* Electronic Social Care Record (ESCR) system: Frameworki from Corelogic; and
* Electronic Document Records Management (EDRM): Livelink Server 10 from OpenText.

## Communications Network

The Council currently has a mixed wired and wireless network infrastructure, using Ethernet topologies; with 1Gbps Ethernet backbone and 100Mbps switched Ethernet to the desktop throughout.

Cisco networking equipment is used across the Council at all corporate sites. A Virtual Switching System (VSS) is implemented using Cisco Catalyst 6500 series switches diversely routed across the County Hall campus and to the second data centre at Shand House, Darley Dale.

The current core network consists of two pairs of Cisco 6509-E chassis running the VSS. These are located on separate sites, the primary pair located at County Hall, with the 2nd pair of core switches located at the Council’s Disaster Recovery (DR) site at Shand House, which is 3 miles away. Each pair currently has 20Gbps VSL EtherChannel link between supervisors, and both pairs are connected by a 20Gbps EtherChannel.

Within the two data centres the converged network infrastructure is based on dual 10Gbps connections to the VSS network cores from the data centre fabric operating at 40Gbps utilising Cisco Nexus 5696Q series switch pairs. Connectivity between the primary and secondary data centres is by two diversely routed 10Gbps circuits.

The Derbyshire Wide Area Network (WAN) is a BT VPLS cloud solution. There are 10Gbps connections into each data centre providing a resilient solution for all administrative sites connected to the centre. All sites now have in excess of 10Mbps connections, depending on their size and function.

The Council has a Voice over Internet Protocol (VoIP) telephone system operating on this upgraded infrastructure, so far over 7,000 handsets have been installed in over 200 establishments. The VoIP system is run on a Mitel 3300 Platform.

The Council’s wi-fi network is based on over 440 Cisco wireless access points and provides filtered access to the internet for staff and guest users. The scope of the network is currently limited to 2,500 concurrent users, but this is about to be increased to up to 10,000 users.

The Council has a F5 BIG-IP solution which provides load balancing (LTM) of internal applications and web traffic.

## Server and Storage Management

The Council operates over 450 Windows servers across two data centres based at County Hall, Matlock and Shand House, Darley Dale. The Windows based servers are hosted on HP C-class Blade and HP Proliant series hardware, the majority of the Windows servers are hosted within a virtualised environment using Microsoft Hyper-V as the hypervisor. A Microsoft Server Cloud Enrolment enterprise agreement provides licensing across the server estate until March 2018 and is supported annually by a Microsoft Premier Support agreement.

The primary storage platform is NetApp FAS8040 utilising Clustered Data OnTap at both data centre sites. Total tier 1 disk storage is 280TB at the primary site (County Hall), and 280TB at the secondary site (Shand House). Storage presentation is over the converged data centre fabric (Cisco Nexus switch pairs) utilising SAN and NAS protocols. Data is replicated asynchronously between the two data centre sites. Secondary storage platforms in use are; NetApp FAS2240, at the primary site 48TB total disk storage used for user home drive file data presented in CIFS shares, NetApp FAS2240 at the secondary site used for SnapVault 120TB total disk storage, and a staging/development storage tier using NetApp FAS2552 with 1600GB SSD and 18TB total disk storage. All the above storage tiers are configured as RAID 6 DP.

All storage tiers utilise, versioning, Snapshot technologies, thin provisioning, compression and deduplication at block level. There is 4TB direct attached storage on traditional Windows servers, but it should be noted that the traditional estate is being further rationalised in favour of hosting OSE within virtual environments. The traditional Windows servers use a mixture of VRAID1 and VRAID5 storage array configurations.

Backups for Windows servers are taken using HP Data Protector via the enterprise tape libraries. There are three enterprise MSL 8096 and one 4048 tape libraries with a total of 14 LTO4 tape drives. The backup solution utilises hardware encryption at the tape head. A daily incremental, weekly full, monthly full and annual full backup are taken with offsite security copies rotated weekly. Snapshots (NetApp SnapManager®)committed to the vault located at the second data centre are written to tape media on a weekly basis and stored off site.

The Council maintains asynchronous replication of data between the two data centre sites over dual diversely routed10Gbps WAN links. The data centre at the Shand House site is maintained for failover in the event of a disaster. Failover is configured for the virtualised estate between both data centre sites with point in time recovery from snapshot versions maintained on disk storage. Traditional server systems are reliant on data recovery from traditional securities taken to tape media. Offsite copies of data are maintained for recovery purposes in the event of a disaster affecting both data centre sites.

Core Financial, Payroll, HR and Electronic Orderpoint systems have been implemented using a SAP platform and are virtualised on the NetApp 8040 tier 1 storage and associated HP C-class Blade systems. These core systems are hosted within a HyperV platform and utilise high availability (HA) and site recovery functionality.

The roles of the Windows servers located at County Hall are print, application, database (SQL Server and Oracle), web (internet, intranet and extranet), EDRM, terminal services (Microsoft Remote Desktop Services), TMG (Reverse Proxy and firewall) and RADIUS services, 2 Factor Authentication (2FA), domain controllers, network monitoring/management and virus definition services. The Microsoft System Centre (MSC) 2012 Suite is used to manage the desktop and server estates, an upgrade to MSC 2016 is planned for the majority of the components by the end of 2017. Supported versions of the Microsoft Windows Server 32bit and Windows Server 64bit operating systems are in use within the infrastructure. Critical updates and patches to server systems are applied every month to ensure that compliance of 100% is maintained within 30 days of the release of an update. Business critical applications are provided by Windows Server 2008/2012 clustered (N+1 configuration) SQL servers, Hyper-V and IP-load balanced web servers.

## Desktop Management

ICT Services currently utilises Microsoft’s System Centre Configuration Manager (MSCM) 2012 to help manage the Council’s IT assets. An upgrade to MSCM 2016 is planned by the end of 2017.

### Current Desktop Specifications

#### Desktop

*Standard Spec*

* Intel® Core™ i5 Processor i5-6600, 3.30GHz, Quad Core;
* 8GB of RAM on 64bit OS;
* Hard disk drive 240GB SSD minimum; and
* Microsoft BitLocker drive encryption using TPM.

*High Spec*

* Intel® Core™ i7 Processor i7-6700, 3.40GHz, Quad Core;
* 16GB of RAM on 64bit OS;
* Hard disk drive 540GB SSD;
* Microsoft BitLocker drive encryption using TPM.

#### Laptop

*Standard Spec*

* Intel Core i5 processor 5350U, 1.8 > 2.9GHz Dual Core;
* 8GB of RAM on 64 bit OS; Hard disk drive 240GB SSD; and
* Microsoft BitLocker drive encryption using TPM.

*High Spec*

* Intel Core i7 processor i7 5950HQ, 2.9 > 3.8 GHz Quad Core;
* 16GB of RAM on 64 bit OS; Hard disk drive 240GB SSD; and
* Microsoft BitLocker drive encryption using TPM.

#### Standard Software

* Operating System:
* Microsoft Windows 7 SP1 32bit,
* Microsoft Windows 7 SP1 64bit,
* Microsoft Windows 8.1 32bit,
* Microsoft Windows 8.1 64bit,
* Microsoft Windows 10 (Current Branch for Business) 32bit,
* Microsoft Windows 10 (Current Branch for Business) 64bit,

#### Standard Applications

* Microsoft Office 2013 minimum;
* OpenText Enterprise Connect Framework 10.3.1; and
* Internet Explorer 11 and above.

#### Most Commonly Used Browsers

* Internet Explorer 11 and above;
* Chrome 33 and above;
* Firefox 28 and above;
* Safari 5.1.0 and above; and
* Android Stock Browser 4 and above.

The Council has rolled out Windows 7 to the desktop and laptop estate, but has an increasing number of Windows 8.1 and Windows 10 machines. A plan to upgrade to Windows 10 is being developed and rollout is expected in 2018.

The hardware specification is the minimum currently purchased. However, the majority of the current estate will be of a lower specification.

System Centre Service Manager 2012 Service Pack 2 is used to track service calls and associated Microsoft Configuration Management software updates and patches PCs and laptops across the Council’s WAN. This element of the System Centre suite is not planned to be upgraded.

## Mobile Infrastructure

The Council has a contract with EE for its mobile voice and data; including the provision of call charges, connectivity and devices. However, there is no ubiquitous mobile or broadband coverage for 2G, 3G or 4G networks within the county.

### Smartphone Specification

The standard specification for the Council’s smartphones is determined through regular evaluation of available handset models. As a minimum the current specification includes:

* Windows 10 O/S;
* Bundled data tariffs of 500MB or 1GB; and
* Push email to compatible mobile devices.

There is an increasing requirement for smartphone technologies based on Apple and Android platforms as well as Windows, to interact with new applications.

## Application Systems Development and Support

Major in-house development is only undertaken if a package solution cannot be found or is judged too costly. Business cases and option appraisals are completed for each new major project before deciding which approach should be adopted. ICT systems conform to the Council’s strategy for its IT infrastructure and to central government’s e-GIF standards.

Most system development work often involves the integration of bought-in packages, particularly to the Council’s ERP system. Currently, systems development is preferably web-based and is undertaken using Visual Studio 2010 (.NET framework), normally in conjunction with SQL 2008/2012. However, many legacy systems still operate which use Access and Visual Basic; but the intention is that these should be phased out over time.

**Please note** – Application, web and database updates, upgrades and troubleshooting of incidents are carried out with the support of the Council’s data centre and application support teams.  Suppliers are not granted administrative permission on the internal infrastructure, so these activities are conducted under a supported and supervised remote session with approvals through a change control process.

## E-mail and Internet

There is an externally hosted contract for providing an e-mail and internet service, which consists of over 10,000 email accounts using Microsoft Exchange 2010 and Microsoft Outlook. Dual diversely routed telecommunications links are provided to ensure high levels of service availability.

The service includes filtering of internet and email content and utilises Juniper remote access gateway in conjunction with Vasco based strong 2FA to enable access to systems from non-Council locations. Juniper access is also enabled and provides controlled access from non-Council equipment and external users, whilst restricting access to specific applications and locations. Virtual Private Network (VPN) access is used to facilitate 3rd party support. Email to SMS txt conversion is used to support 2FA access and facilitate public consultations and views.

The internet filtering, via a Websense solution, provides over 90 filtering categories and has different filtering policies for different user groups. The service includes:

* + Monitoring and reporting;
  + Intrusion detection and prevention (IDP) with reporting; and
  + In-line anti-virus scanning and spyware/malware filtering.

The Council provides VPN/Access portal via Juniper, which includes:

* + A single secure clientless portal (1000 user licence/6000 ICE)
  + Secure Meeting (250 meetings);
  + Network access to files and folders;
  + 2FA;
  + Secure portal access;
  + Host checker ability to perform defined security checks on clients before allowing access;
  + User and role based access;
  + Federal Information Processing Standards; and
  + Virtual workplace functionality so can use home machines without leaving any data.

The Council utilises Instant Messenger with Presence for all email users and Office Communication Server 2007 is provided with full facilities for 50 users.

A project is underway to replace the current contract and the email service will move to Microsoft Office 365 in September 2017. Included in this project is a move to Skype for Business to replace Instant Messenger. The full facilities in Office 365 will be gradually introduced following the completion of the email migration. The remainder of the contract will be transitioned to a new provider in early 2018.

## Website Hosting and Content Management

The Council has an in-house web hosting and content management infrastructure which hosts a number of internet, intranet and extranet based websites, both for the Council and for partner organisations.

Websites are developed in-house to WCAG and WAI accessibility standards, and are managed and maintained using SDL Tridion as the content management system, although this under review. Editors from across the Council and from partner organisations are responsible for using SDL Tridion to manage and update areas of the websites.

The majority of websites are developed using Active Server Pages (ASP) and VBScript. A number of web-based applications have also been developed in-house and integrated into the websites. These mainly use ASP and VBScript, in conjunction with Microsoft SQL databases. A number of Microsoft .NET applications are also integrated with the websites.

## Disaster Recovery

Disaster recovery is based upon the loss of the main data centre at the County Hall, Matlock site with failover of business critical services to the second data centre at the Shand House, Darley Dale site. Failover of services between data centres using HyperV is managed through System Centre Orchestration and PowerShell scripts. ICT Services manages the DR testing procedures, with departmental staff participation in DR tests.

## Security

The Council has acquired ISO27001 accreditation and all new solution providers are expected to demonstrate equivalent compliance within their organisation and their solutions.

The Council does not currently support Bring Your Own Device (BYOD), however, the need to manage portable devices with Windows, and non-Windows operating systems such as Android and IOS is becoming a priority.

## Software Licences

The Council has a mixture of corporate and academic device based licences within the estate. The current split is approximately 5,200 corporate and 2,200 academic.

### Corporate Licensing

The Council has entered into a new Secure Productive Enterprise (SPE) E3 Agreement during 2017, which is effective from the 17th March 2017. The SPE includes Windows 10 Enterprise E3, Office 365 Enterprise E3 and Enterprise Mobility and Security (EMS) E3. The licensing agreement is based on a user model, subscription based and covers the corporate environment.

### Academic Licensing

The Council has a separate subscription EA for the desktop academic estate (none Schools). This covers those devices that are used primarily for delivering services to libraries and schools; there are around 2,200 of these. The same versions of software are deployed as within the corporate environment.

At present no SPE Agreement is available to cover the academic estate so this will remain unchanged. Additional add-ons have been attached to this agreement so that the academic estate is licensed the same as the corporate estate. The additional add-ons include, Enterprise Mobility Suite (EMS), Office 365 EDU and Windows Enterprise Software Assurance.

**Appendix C Audit Guidance**

The Council provides essential services and business functions that rely on IT systems and applications contracted by third party suppliers, which may be primary or sub-contractors. The Council relies on the integrity and accuracy of its information in order to carry out its business and obligations to the public. It is therefore essential that information assets are provided in line with professional best practice as well as statutory, regulatory and contractual requirements that maintain the confidentiality, integrity and availability of all Council information assets.

The Council has achieved accreditation to the ISO27001:2013 standard and has established an Information Security Management System (ISMS) in accordance with the requirements of ISO27001 and ISO27002 code of practice for information security controls. The ISMS enables the Council to meet these requirements including those provided by the Data Protection Act (1998) and the Information Commissioner’s Office (ICO). A summary of the expected controls required as part of this procurement are detailed below:

1. IT equipment and media used to record, store or process personal data or sensitive personal data should be encrypted;
2. IT equipment and media used to record, store or process personal data or sensitive personal data must be securely wiped when no longer required in order to render the data unrecoverable;
3. IT systems processing personal data or sensitive personal data must have a system-enforced password and user account policy, which includes:
   1. Minimum password length 8 characters
   2. Users are prompted to change password at logon 7 days prior to the existing one expiring.
   3. Passwords must meet complexity requirements – this forces the use of passwords which must contain at least four of the following five elements:
   4. Numeric – (0-9)
   5. Uppercase – (A-Z)
   6. Lowercase – (a-z)
   7. Special Characters (?,!, @, #, %, etc…)
   8. Spaces
4. Physical access procedures must be in place to control access to sites hosting personal data or sensitive personal data;
5. All IT devices processing personal data or sensitive personal data must run up to date anti-virus and malware protection software;
6. Backups of systems containing personal data or sensitive personal data must be undertaken regularly and encrypted to prevent unauthorised access;
7. Intrusion detection strategies must be in place, which include periodic penetration testing on systems used to process or store personal data or sensitive personal data;
8. Patch management procedures must be in place to ensure security bug/fixes are applied, in accordance with the vendors recommended guidance for systems hosting personal data or sensitive personal data;
9. All systems processing personal data or sensitive personal data must have an audit trail, which will record additions, amendments and deletions to activity data of users and system administrators;
10. IT systems processing personal data or sensitive personal data should have the ability to issue a notification (welcome page) to remind users of their obligations when accessing the system. This should be editable by the Council to incorporate local policies and procedures;
11. Procedures must be in place to notify the Council of any information security incidents and events without delay, which may affect the Solution or the Council’s information.

**Appendix D FOIA Disclosure Form**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| This form is to be completed by all suppliers to identify the information they wish to be considered exempt from FOIA and/or EIR requests.   * Any information supplied, which the supplier considers may be potentially exempt from disclosure under the FOIA and/or EIR **MUST** be set out in this form. * Any information not contained in this form will be subject to disclosure without any prior consultation. * The information considered to be exempt must be referred to in the table below; this could be a whole section of the documentation provided, a clause or paragraph in the documentation provided. * The supplier should set out in this form that information which it considers to be exempt from disclosure, the reason for non-disclosure, the exemption that might be applicable and the time period for which this information should be considered to be exempt. * The supplier acknowledges nevertheless that any information contained within this form is indicative only and the Council may nevertheless be required to disclose such information under the FOIA and/or EIR. The supplier should also include in this form the name and contact details of a person who will be able to handle such requests.  |  |  |  |  | | --- | --- | --- | --- | | **Exempted Information**  **(cross reference to response)** | **Reason for Exemption** | **Exemption to be Applied** | **Time Period for Exemption** | |  |  |  |  | |  |  |  |  | |  |  |  |  | |
| **Form Completed by:** |

|  |  |
| --- | --- |
| **Supplier Name:** |  |
| **Contact Name:** |  |
| **Role within the organisation:** |  |
| **Signature:** |  |
| **Date:** |  |
| **Correspondence Address:** |  |
| **Telephone number:** |  |
| **Email:** |  |

**Appendix E Draft Price Schedule**

