

**ICT17037**

**Supply of a Claims Management System with Associated Services**

**Soft Market Testing Exercise**

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## Definitions and Abbreviations

| **Term** | **Meaning** |
| --- | --- |
| **Associated Services** | means services offered by the organisation that enables the Council to make full and best use of the System including without limitation, upgrades, fixes, training, bespoke software development, installation, implementation, consultancy, support and maintenance. |
| **API** | means Application Programming Interface. |
| **CAMS** | means the Council’s Countryside Access Management System provided by Exegesis Spatial Data Management Ltd ([link](https://www.esdm.co.uk/)). |
| **Charging** | means the amount of money charged for time recorded against each claim. |
| **Claims Portal** | means a tool for processing low value personal injury claims, designed to reduce costs and manage claims more efficiently. The ministry of Justice has mandated that claims between £1,000 and £25,000 in value in respect of actions arising after 31 July 2013 must be processed using the Claims Portal ([link](http://www.claimsportal.org.uk/)) |
| **Clients** | means external bodies such as Derbyshire Fire & Rescue Service, Peak District National Park Authority and the Police and Crime Commissioner for Derbyshire, who the Council acts for and accesses their claims and underwriting data. |
| **CONFIRM** | means the Council’s Asset Management System provided by Pitney Bowes ([link](https://www.pitneybowes.com/uk)). |
| **Council** | means Derbyshire County Council. |
| **Council’s ERP System** | means the Council’s Enterprise Resource Planning System provided by SAP as detailed in Appendix A Technical Infrastructure. |
| **Confidential Information** | means any and all information in whatever form whether disclosed orally and/or in writing and/or whether eye readable or machine readable or in any other form including without limitation all trade and professional secrets, business, technical, financial, operational, administrative, marketing, economic or any other material made available by the Council to an organisation as part of this SMT process. |
| **Deductibles** | means the amount of money the Council has to pay per claim, before the insurance policy will pay out. |
| **EDRM** | means Electronic Document Records Management System provided by OpenText Content Server 10 ([link](http://www.opentext.com)). |
| **EEA** | means European Economic Area, the area in which the agreement of the EEA provides for free movement of persons, goods, services and capital within the European single market. |
| **EIR** | means the Environmental Information Regulations 2004 (SI 2004/3391) together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such regulations. |
| **Term** | **Meaning** |
| **FleetWave™2** | means the Council’s Fleet Management System provided by Chevin Fleet Solutions ([link](https://www.chevinfleet.com/gb/fleet-management-software/)). |
| **FOIA** | means the Freedom of Information Act 2000, and any subordinate legislation made under this act from time to time, together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such regulations. |
| **GDPR**  | means the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679), a regulation by which the European Parliament, the Council of the European Union and the European Commission intend to strengthen and unify data protection for all individuals within the European Union (EU). |
| **Insurance Section** | means the Section within the Council with responsibility for claims management and reserving. |
| **Lexel** | means the Law Society's legal practice quality mark and sets the required standard in structure and strategy, financial management, information management, people management, risk management, client care, file and case management.  |
| **Long-tail Claims** | means liabilities for claims that have long settlement periods. Long-tail claims are made or settled a long time after the insurance policy has expired. Common long-tail claims that arise after a long delay would be from situations such as asbestos exposure or noise induced hearing loss. Typically a claim may span several years, if not decades, and is often submitted long after the exposure ceased. These claims may involve several employers, and insurers, as employees may have more than one employer during the period but are still working in the same environments. |
| **Own Solicitor’s Costs** | means the fees charged by Solicitors that the Council instruct to defend or investigate a claim. |
| **PDF** | means Portable Document Format file format. |
| **Peril** | means a specific risk or cause of loss covered by an insurance policy, such as a fire, windstorm, flood, or theft. |
| **RDBMS** | means the Relational Database Management System, which is the database for the System. |
| **Reserves** | means money that is earmarked for the eventual claim payment, i.e. claims that have been submitted, but not yet settled. The reserve will change over the lifetime of the claim as further detailed information is gathered. |
| **Risk Modelling** | means producing amendable tables and charts with the ability to export to Excel or Word detailing type of risk, causes, repudiation rates, reasons for payment by department or overall Council, to enable the Council to identify where the risks lie and to act to reduce those risks. |

| **Term** | **Meaning** |
| --- | --- |
| **SMT** | means a pre-procurement supplier engagement process of obtaining information from potential suppliers, to inform the Council of the range of options available and help refine the business case, and procurement strategy, for its requirements. |
| **Social Value** | means the economic, social and environmental well-being of the relevant area (Derbyshire) as defined in the Public Services (Social Value) Act 2012. |
| **Solution** | means an organisation’s description of the goods and services it is referring to in its response, including the System and Associated Services. |
| **System** | means all the functionality, software and applications an organisation is referring to in its response including associated infrastructure and components. |
| **System Administrator** | means the User or Users responsible for the management of the System.  They have the highest level of privileges within the System and the ability to create and allocate privileges to other Users.  |
| **Third Party Costs** | means the legal fees charged by a solicitor instructed by a claimant which are recoverable from the Council. |
| **Third Party Damages**  | means the amount paid in compensation for damage or injury caused to a claimant. |
| **Time Lag** | means the period of time between two related events. |
| **Time Recording**  | means the ability to record the number of hours and minutes in individual claim tasks such as: reading documents; preparing documents; writing letters; telephone conversations; briefing witnesses etc. |
| **Triangulations** | means the methodology to track how claims, both known and unknown, change over time. These are tables showing total losses for certain periods at various valuation periods, reflecting changes in amounts as claims mature. Older periods will have one more entry than the next younger period, leading to the triangle shape of the data in the table. |
| **User** | means anyone who will use the System. |
| **Workflows** | means the execution and automation of claims handling processes where tasks, information and documents are processed according to a set of procedural rules. Workflows automate the flow of tasks and activities increasing efficiency and reducing potential errors. |
| **XML** | means Extensible Mark-up Language. |

## Introduction

* 1. The Council wishes to hear from organisations willing to share information about their approach to the provision of a Claims Management System with Associated Services, to enable the Council to gauge the likely level of interest in the project from the market. This will enable the Council to gain a better understanding of the Systems available, how they could be supplied, an indication of the likely costs, and help it 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 SMT exercise will be undertaken initially with interested suppliers through written response. The Council will then review the information provided and seek clarification if required. Any requests for further information will be published through the Council’s electronic tendering system.
	3. It is not anticipated that there will be a need for face to face meetings. However, following consideration of the responses, if these are required, requests will be sent to all relevant respondents.
	4. All responses and submissions relating to this SMT exercise are made entirely at the interested supplier’s own risk and cost. 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.
	5. Information received from all parties will be treated as commercially confidential. Responses to this exercise are for information only and will not form part of any scored evaluation.
	6. The SMT exercise in no way commits the Council to award any contract, nor does it constitute an offer (implied or otherwise) to enter into any contractual relationship.
	7. If an organisation considers that any of the information included within its response is either commercially sensitive or confidential in nature, they 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 (see Section 7) and submitting this with their response. 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.
	8. 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.
	9. For the avoidance of doubt, this SMT exercise 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 or disadvantaged 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 exercise does not guarantee an invitation to participate in any subsequent procurement.

## Instructions to Respond

* 1. **Written responses to the questions in Section 6,** should be submitted through the Council’s electronic tendering system by **11.00am on Thursday, 1st March 2018.**
	2. The following documents and web links are provided in this SMT exercise to assist you. Please ensure you have downloaded and read all of these before you respond:
* SMT Exercise (This document);
* Corporate Digital Preservation Policy ([link](https://www.derbyshire.gov.uk/images/Corporate%20Digital%20Records%20Preservation%20Policy_tcm44-146447.pdf));
* Secure File Transfer Policy ([link](https://www.derbyshire.gov.uk/images/Secure%20File%20Transfer%20Policy_tcm44-267970.pdf));
* Supplier Information Security Policy ([link](https://www.derbyshire.gov.uk/working_for_us/data/away_from_your_desk/working_with_the_public/default.asp)); and
* Appendix A Technical Infrastructure.
	1. The information provided by the Council should assist you in completing your response. Should you require any clarification relating to the information supplied or the process itself, please submit your questions through the discussions feature of the Council’s electronic tendering system by **5pm on Monday, 19th February 2018.**
	2. Any clarification 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 to all parties by **5pm on Monday, 26th February 2018**. However, the final decision to answer any question shall be solely at the discretion of the Council.
	3. The Council recognises that all prices quoted in response to this SMT exercise are indicative and not legally binding. However, the Council would appreciate as much detail and accuracy as organisations feel able to provide, to enable the Council to determine the necessary budget requirements. At a later date, should the Council seek to invite tenders, organisations choosing to submit a formal tender response will be expected to provide fixed and firm prices at that stage.

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

Name: Guy Wilding

Email: Guy.Wilding@derbyshire.gov.uk

Telephone: 01629 536256

## Background

* 1. **The Council**

The Council is represented by 64 elected members who are elected every 4 years. Elected members are democratically accountable to residents who live in their electoral division.

The Council departments are:

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

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 the county of Derbyshire.

Further information can be found at:

<http://www.derbyshire.gov.uk/council/council_works/departments/default.asp>

* 1. **The Insurance Section**

The Council’s Insurance Section sits within the Commissioning, Communities and Policy department and administers the Council’s insurance fund, which is an amount of money set aside to cover the cost of claims as the Council’s insurance only covers claims above a certain limit. These high Deductibles ensure that the Council keeps costs to a minimum.

The Insurance Section also manages insurance arrangements for Clients.

The Council currently utilises in-house developed claims management databases. These databases store claims data going back to the creation of the insurance fund in 1992 and is important in terms of providing accurate actuarial information. Currently there are three Microsoft Access databases, two live and one containing read only archived records.

The current databases are restrictive, too large and not fit for purpose. The main drawbacks are the inability to model risk, lack of Workflows so these cannot be monitored, no suitable diary system, duplication of work in other areas, inability to track changes such as reserve history, no audit trails, poor payment recording, and the inability to produce Triangulations or accurate reserving information, and lack of integration with other systems.

Currently claims are input manually into the database.

* 1. **Additional Information**

The Council are currently in the process of undertaking a separate SMT exercise for a legal case management system, which may have some areas of similar functionality.

## Requirement Overview

The Council would like to hear from suppliers that have a fully functional System to support the delivery of claims management and help to reduce the cost of claims by improving overall efficiency. This includes audit trails, monitoring of Workflows and to assist in the identification and prevention of fraud.

The Council wants to ensure it will be using the latest technology and would like advice on what functionality is available. There may be a requirement in the future to incorporate the handling of litigated claims and the litigation process; including Claims Portal activity and Charging and billing for activity on a per file basis. There may also be a need for risk management, health and safety, legal, project and property modules in the future.

It is envisaged that there will be some integration or interfacing required with other Council systems (see 5.1 below), to facilitate the upload of claims information directly into the System. Over the three databases in use there are a total of 46,000 claim records plus attached supporting documents (Word documents, e-mails, PDF files) and the majority of these will require migration to the System.

There will be several Users of the System including 2 System Administrators, 25 Users with edit access and 20 Users with read only access.

The System is required to be compliant with Data Protection/GDPR legislation in relation to sensitive personal data.

The Council has internal ICT resources to support its technical infrastructure. Any applications or systems procured by the Council need to be compatible with this infrastructure (see Appendix A). However, the Council is also interested in exploring the options for internal or external hosting that your System might offer.

* 1. **Claims Management System Integration**

The Council would like your feedback and recommendations on the options available for the following integrations/interfaces:

* The System to send payment information to the Council’s ERP System;
* The Council’s ERP System to send the date paid and document number information to the System;
* CAMS to send incident information into the System;
* CONFIRM to send incident information into the System; and
* FleetWave™2 to send claim information into the System.

Figure 1: System Integration

Council’s ERP System

Claims Management System

FleetWave™2

CAMS

CONFIRM

* 1. **Functionality**

The Council would like to explore whether the following functionality would be available in the System:

* Ability to generate, store and manage documentation, for example, templates and notes, whether its created within the System, Microsoft Office Suite or has the ability to integrate with the Council’s current EDRM system;
* Ability to automatically assign each new claim to the correct insurance policy determined by the incident date and claim type;
* Record incidents in addition to claims;
* Create Workflows based on the type of claim with varying timescales and where necessary, synchronisation to the Claims Portal;
* Ability to send sensitive data by email to external email addresses;
* Full Reserve history tracking via reporting and also visible on the Reserve history page, to include dates the changes were made and detailing changes to the Reserve figures;
* Ability to assign authorisation limits to Users, for example, maximum offer level set at £1,500;
* Ability for System Administrator to create mandatory fields;
* Functionality to set up multiple Clients within the System, for example, handle claims on behalf of other authorities;
* Automatic alert to System Administrator when overdue items exist in User Workflows;
* Pop up alerts when same/similar claimant/accident location/dates are input to avoid duplicate claims and highlight potential fraud;
* Generate notifications, for example: administrative alerts and claim Reserve warnings;
* Search parameters, for example: full financial history, payment type, dates, amounts and payee;
* Claims dash board for Workflows showing assigned tasks and automatic reminders for work due or overdue;
* Spell check and data validation on input fields;
* Ability to create claims Triangulations;
* Ability to accurately record Long-tail Claim settlements over the correct policy years throughout the period of exposure;
* Time Lag tracking over the lifespan of a claim, for example, lifetime of a claim from date open to closure, the date a claim is received to date of admission or repudiation of claim etc.;
* The ability to automatically redact pertinent documents;
* Export records or reports to Microsoft Word, Excel, PDF and other formats;
* Full audit trails of User activity;
* Time Recording functionality to charge internal or external Clients for time spent on individual claims;
* A comprehensive reporting suite, which includes a set of standard reports and the ability to easily create bespoke reports, for example, trend analysis and Risk Modelling.
	1. **Services Required**

The following services would be required of the System:

* Migration of existing data;
* System training;
* Implementation (to include project management);
* Account Management;
* Support and Maintenance; and
* Integration to other Council systems (as described in 5.1).

## Questions

Please provide your responses to the following questions in the spaces provided, when submitting your response please refer to the functionality outlined in section 5 It is not necessary to provide sales literature or brochures with your responses as these will be requested if required.

|  |
| --- |
| * 1. **Contact Details**
 |
| 6.1.1.  | Please provide your contact details for enquiries about this questionnaire. |
| Organisation Name: |       |
| Contact name: |       |
| Postal Address: |       |
| Country: |       |
| Telephone: |       |
| Mobile: |       |
| E-mail: |       |
| * 1. **Functionality**
 |
| 6.2.1. | The Council would like to understand the degree to which documentation created within the System or via Microsoft Office Suite can be stored and redacted, for example: templates, photographs, payments, reports and outgoing and incoming emails.Please explain whether your System could provide this functionality and include in your response how the documents are created, stored, and redacted and if this can be achieved within the System database, on a structured file share or EDRM. |
| **Response:**       |
| 6.2.2. | The Council would like the ability for Users to create and assign notes to individual insurance claims.Please explain whether your System provides this functionality. |
| **Response:**       |
| 6.2.3. | The Council would like the ability to assign new claims to the correct insurance policy as determined by the incident date and claim type.Please explain whether your System provides this functionality and include how it can record incidents as well as claims.  |
| **Response:**       |
| 6.2.4. | Please explain whether your System could create Workflows based on the type of claim and where necessary, synchronise to the Claims Portal ([link](http://www.claimsportal.org.uk/)). |
| **Response:**       |
| 6.2.5. | The Council has a Secure Transfer Policy ([link](https://www.derbyshire.gov.uk/images/Secure%20File%20Transfer%20Policy_tcm44-267970.pdf)) to adhere to and would like to understand how emails that are sent to and received from external email addresses, containing personal and sensitive data, would be encrypted.Please explain whether your System could provide this functionality and include in your response the options available. |
| **Response:**       |
| 6.2.6. | The Council would like to understand how your System could display and report on the full Reserve history, including dates and any changes, for example:* Display the Reserves by policy years;
* Display Reserves split by year and policy;
* Display changes in Reserve over a policy year; and
* Display changes to Reserves in individual claims.

Please explain whether your System could provide this functionality and include in your response the options available. |
| **Response:**       |
| 6.2.7. | The Council would like the ability to assign authorisation limits to Users, for example: to set the maximum offer level at £1,500.Please explain whether your System could provide this functionality. |
| **Response:**       |
| 6.2.8. | Please explain the degree to which your System is configurable by the Council, for example: the ability to add additional fields into database tables and set up multiple Clients. |
| **Response:** |
| 6.2.9. | Please describe the different types of warnings, alerts and notifications available within your System based on the functionality outlined in section 5. |
| **Response:**       |
| 6.2.10. | Please explain whether your System can set search parameters based on the functionality outlined in section 5. |
| **Response:**       |
| 6.2.11. | The Council would like the ability to access a dashboard for Workflows to display assigned tasks and automatic reminders for work due/overdue.Please explain whether your System provides this functionality and include in your response the options available. |
| **Response:**       |
| 6.2.12. | The Council would like to increase the accuracy of data stored within the System. Please explain whether your System could provide data validation and spell check functionality. |
| **Response:**       |
| 6.2.13. | The Council would like the ability to create claims Triangulations. Please explain whether your System provides this functionality and include in your response the options available. |
| **Response:**       |
| 6.2.14. | Please explain whether your System could assist in Long-tail Claims and Time Lag tracking, for example: allocation of the apportionment of damages and costs for individual claims that span over multiple years. |
| **Response:**       |
| * 1. **Reporting**
 |
| 6.3.1. | The Council will require the System to provide both standard and bespoke reporting, covering all aspects of claims management, for example:* Trend analysis;
* Risk Modelling;
* Claims by division;
* Claims by department;
* Amounts paid by claim type, by department, by Peril and by year etc.; and
* Amounts paid by claim, by year, by department for Third Party Costs, Third Party Damages and Own Solicitor’s Costs.

Please provide an overview of your System’s reporting functionality including the ability to create bespoke reports and explain whether the reports can be exported to Microsoft Word, Excel, PDF and other formats. |
| **Response:**       |

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| * 1. **Hosting**
 |
| 6.4.1. | The Council would like to understand the hosting options available for your System. Please outline the hosting options available for your System and explain the implications (advantages and disadvantages) for each option including any limitations or restrictions.If externally hosted, the System’s hosting environment must be compliant with ISO/IEC 27001 (or equivalent) and data must be stored securely in accordance with the Data Protection Act 1998 (and forthcoming GDPR requirements). Data Sharing Agreements must be in place (including for any relevant Sub-contractors) for data hosted outside of the EEA. Any changes to the hosting arrangements or proposed movement of data outside of formal agreements, would be subject to prior written agreement by the Council.If the System is internally hosted (on premise), please explain the infrastructure and equipment requirements and confirm that your System would be compatible with the Council’s infrastructure (see Appendix A Technical Infrastructure). In addition, please confirm the RDBMS version and edition required to run your System (e.g. SQL Server 2016 Standard Edition). |
| **Response:**       |
| 6.4.2. | Should the Solution be externally hosted, the Council would like to find out further information on your approach to any back up and failover processes. Please provide a summary of your approach and include in your response whether these processes are standard or optional.Please include any associated costs for each option in section 6.9.1. |
| **Response:**       |
| * 1. **Integration**
 |
| 6.5.1. | The Council would like to find out further information on your approach to how the Council could integrate to back office systems as outlined in section 5.1. Please provide a summary of your approach and include in your response:* The methodology employed, for example: XML and APIs; and
* Experience and examples of similar integrations.
 |
| **Response:**       |

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| * 1. **Commercial Requirements**
 |
| 6.6.1. | The Council would like to understand your approach to implementation, including indicative timescales, Council resources, installation requirements and the data migration process.Please provide details of your standard implementation based on the functionality outlined in section 5. |
| **Response:**       |
| 6.6.2. | The Council needs to determine what insurance requirements will be necessary for this contract. Please provide details of the insurance levels that you currently have for the following:* Public Liability;
* Product Liability;
* Employer Liability;
* Professional Indemnity; and
* Cyber Liability, including 3rd party data.

Please also explain the extent to which your organisation is able to accommodate increases to these insurance limits and any implications for doing so, should this be deemed necessary by the Council. |
| **Response:**       |
| 6.6.3. | The Council would like to understand the differing levels of training you offer for current Users and new starters and how this can be delivered.Please explain how your organisation would assist the Council with the initial and ongoing training of System Administrators, Users and technical support. |
| **Response:**       |
| 6.6.4. | Depending on whether the System is internally or externally hosted, the Council’s requirement for support and maintenance may vary. For an internally hosted (on premise) System the Council would seek to utilise its own technical resources for 1st and 2nd line support. How would you support this?Regardless of the hosting environment, the Council would still require access to a helpdesk (or similar) and service level agreements, which provide:* Response and fix times;
* Service credits;
* Access to a help desk; and
* Any available options for out of hours support.

For each option please explain the support arrangements you are able to offer and include your standard hours of operation and standard service levels offered. |
| **Response:**       |
| 6.6.5. | 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](https://www.derbyshire.gov.uk/images/Appendix%20B%20Draft%20Social%20Value%20Procurement%20Framework_tcm44-284411.pdf)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; e.g. offering work experience/apprenticeships could contribute to the outcome ‘A skilled and confident workforce’, or sponsorship/volunteering for local sustainable food initiatives could contribute to the outcome ‘People supported in hard times’. |
| **Response:**       |
| 6.6.6. | Please outline your reasons as to what length of contract your organisation feels would be appropriate for a contract of this nature to provide the best return on investment for the Council. |
| **Response:**       |
| 6.6.7. | Please provide a copy of your organisation’s standard terms and conditions including licence agreement. |
| **Response:**       |
| * 1. **Information Security**
 |
| 6.7.1. | The Council has achieved ISO27001:2013 certification 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.As part this ISMS, the Council has a Supplier Information Security Policy, [(link),](https://www.derbyshire.gov.uk/working_for_us/data/away_from_your_desk/working_with_the_public/default.asp) which contracted suppliers will need to comply with. The data for this project is likely to be categorised as Restricted in accordance with Appendix A of the policy.Please provide an indication of whether you would be able to comply with these Restricted data requirements, and identify within your response any limitations or issues you may have. |
| **Response:**       |
| 6.7.2. | The Council has a Corporate Digital Preservation Policy ([link](https://www.derbyshire.gov.uk/images/Corporate%20Digital%20Records%20Preservation%20Policy_tcm44-146447.pdf)) designed to ensure continued information access, preservation and availability within secure managed archiving processes in accordance with retention, disposal requirements and Data Protection legislation.Please provide an indication of whether you would be able to comply with this policy, and identify within your response any limitations or issues you may have. |
| **Response:**       |
| * 1. **Additional Functionality**
 |
| 6.8.1. | The Council is also keen to embrace technology which enhances the efficiency of the System and the team. Please provide details of any additional functionality/modules or planned developments, which may be of interest to the Council and have not already been covered above. For example: whether your System has legal case management functionality, and if so whether it has a Time Recording function and complies with Lexel requirements?Please include any associated costs in section 6.9.1. |
| **Response:**       |

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| * 1. **Pricing**
 |
| 6.9.1. | The Council needs to understand the cost elements of your Solution to enable a suitable price schedule to be developed for any future procurement of this requirement.Please provide an indicative pricing model for your Solution, which should include all the cost elements that would apply.Please use the table provided in conjunction with the response box.

|  |  |  |
| --- | --- | --- |
| **Cost Element** | **Internally Hosted**  | **Externally Hosted**  |
| **Implementation costs:** |
| Project management |  |  |
| Data migration |  |  |
| Integration |  |  |
| **Add rows as necessary** |  |  |
| **Recurring annual fixed charges:** |
| Annual support and maintenance costs |  |  |
| Annual hosting charges |  |  |
| Annual licenses for System Administrators |  |  |
| Annual licenses for Users |  |  |
| Backup and failover options |  |  |
| **Add rows as necessary** |  |  |
| **Training:** |
| User training (day rate) |  |  |
| System Administrator training (day rate) |  |  |
| Technical training |  |  |
| **Add rows as necessary** |  |  |
| **Options:** |
| Risk management module |  |  |
| Health and safety module |  |  |
| Legal module |  |  |
| Project module |  |  |
| Property module |  |  |
| **Add rows as necessary** |  |  |

 |
| **Response:**       |

## FOIA Disclosure Form

|  |
| --- |
| **Please print this form, provide a hand-written signature and scan the signed copy for inclusion in your electronic response; submitted through the Council’s e-tendering system.** |
| This form is to be completed by all organisations to identify the information they wish to be considered exempt from FOIA and/or EIR requests.* Any information supplied, which the organisation 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 organisation 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; and
* The organisation 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 organisation 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** |
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| **Form Completed by:** |
| **Organisation Name:** |       |
| **Contact Name:** |       |
| **Role within the organisation:** |       |
| **Signature:** |  |
| **Date:** |       |
| **Address:** |       |
| **Telephone number:** |       |
| **Email:** |       |

## Appendix A Technical Infrastructure

**Template Version Control**

| **Version** | **Author** | **Date** | **Comments** |
| --- | --- | --- | --- |
| 0.1 | Strategic Sourcing Manager | 11/10/2013 | Draft – pre publication. |
| 0.2 | Strategic Sourcing Manager | 21/10/2013 | Draft – pre publication amendments. |
| 1.0 | Strategic Sourcing Manager | 05/11/2013 | Agreed for publication. |
| 2.0 | Assistant Director | 16/07/2014 | Revised. |
| 2.1 | Assistant Director | 24/10/2014 | Updated technical details. |
| 2.2 | Assistant Director | 08/01/2015 | Updated technical details. |
| 2.3 | Strategic Sourcing Manager | 05/02/2015 | Formatting and browsers added. |
| 2.4 | Assistant Director | 15/05/2015 | Updated technical details. |
| 2.5 | Assistant Director | 19/06/2015 | Updated technical details. |
| 2.6 | Assistant Director | 11/08/2015 | Updated technical details. |
| 2.7 | Strategic Sourcing Manager | 13/08/2015 | Formatting and clarification. |
| 3.0 | Assistant Director | 14/08/2015 | Agreed for publication. |
| 3.1 | Assistant Director | 16/04/2016 | Updated technical details. |
| 3.2 | Strategic Sourcing Manager | 27/04/2016 | Removal of duplication. |
| 3.3 | Assistant Director | 28/04/2016 | Update of technical details. |
| 3.4 | Deputy Director of Transformation | 12/05/2016 | Update of number of personal computers (1st paragraph). |
| 3.5 | Strategic Sourcing Manager | 19/12/2016 | Additional section added, title page and footer updated. |
| 3.6 | Strategic Sourcing Manager | 23/01/2017 | New logo and page 4 amendment. |
| 3.7 | Network Team Leader | 09/02/2017 | Updated Technical Details |
| 3.8 | Strategic Sourcing Manager | 28/02/2017 | Name change to ICT Services and update to 11.4. |
| 3.9 | Commissioning Support Officer | 19/06/2017 | SAP OrderPoint SRM system version updated |
| 3.10 | Assistant Director | 25/09/2017 | Updated technical details |
| 3.11 | Strategic Sourcing Manager | 20/11/2017 | Instructions for editing added |
| 3.12 | Commissioning Support Officer | 18/12/2017 | Updated Desktop Management section |

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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 (MSCCM) 2012 to help manage the Council’s IT assets. An upgrade to MSCCM 2016 is planned during 2018.

### 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) 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 – to keep pace with security and version releases;
* Edge – to keep pace with security and version releases
* Chrome – to keep pace with security and version releases; and
* Firefox – to keep pace with security and version releases.

Any required 3rd party software components should be kept up to date and keep pace with the current security releases.

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 Windows 10 estate will be keeping pace with the Semi Annual Chanel releases of the operating system

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 and is currently under review, ideally mobile applications should be OS agnostic. The current environment consists mainly of Windows 10 mobile devices.

* Bundled data tariffs of 500MB or 1GB; and
* Push email to compatible mobile devices.

## 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.