

**Allerdale Borough Council**

Request for Quotation

**Provision of an Electoral Management System**

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**January 2018**

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| **Specification of Requirements** | | |
| **Category** | **Quality Sub-Criteria** | **Sub**  **Weighting** |
| 1 | Solution Design and Functionality Requirements | 60% |
| 2 | Technical Requirements and Security | 20% |
| 3 | Implementation and Support | 20% |

| **SPECIFICATION OF REQUIREMENTS** |
| --- |
| Bidders are invited to respond to each requirement ensuring the points are answered in the appropriate boxes provided. Responses should be in full and supported by evidence, allowing the evaluators to gain a good understanding of how the Bidder intends to achieve and support the requirement.  **Priority** – The Council has prioritised the requirements using the following code M = Mandatory. Bidders are required to demonstrate that their proposed solution will be compliant with, at least, all the requirements identified as Mandatory, by the proposed Go Live Date (March 2018) to be considered for the contract.  **Bidder’s Solution** – Bidders must indicate how their proposed solution will achieve the specified requirement using the following codes:  S = standard, P = planned development, A = achievable by bespoke development for the Council, N = not achievable.  **Evidence of Response** – Bidders will score 0 (zero) if no information is provided to support their stated Bidder’s Solution response for the achievement of the requirement.  Where development is proposed to achieve the requirement Bidders must provide details of the planned delivery date and indicate that the costs of development are either included in the tendered price or will be an extra cost.If no information is provided to indicate that the cost of development is included within the tendered price or is an extra future cost it will be assumed that the cost of development is included in the tendered price. Bidders should note that where development is proposed to achieve a Mandatory requirement the cost of development must be included in the tendered price.  ***Requirements that can only be achieved by future development (planned or bespoke) the maximum score that can be given for that response is 3 (Acceptable).***  **The pricing schedule is set out in pages 64-68 of this document. Bidders should note that the priority weighting is as follows:**  **System solutions – 80%**  **Pricing – 20%** |

| **Requirement** | | | **Bidder Response** | |
| --- | --- | --- | --- | --- |
| **Ref** | **Description** | **Priority** | **Bidder’s Solution** | **Evidence of Response** |
| **Category 1 – Solution Design and Functionality Requirements** | | | | |
| **Scope (Pass/Fail)** | | | | |
|  | The EMS shall be able to support:   * UK local government elections * Local and national Referenda * Police and Crime commissioner elections * UK parliamentary elections * European elections (if applicable) * Neighbourhood Planning Referenda * Council Tax Referenda * Business Improvement District Referenda * Mayoral elections | M |  |  |
|  | The EMS shall be able to support the processing of:   * Rolling registration * Annual canvassing * Absent voting applications * Returned postal votes and undertaking the count | M |  |  |
|  | The EMS shall enable the running of up to 20 elections simultaneously, for combined or overlapping elections at any one time. | M |  |  |
|  | **EMS User Volumes**  The EMS shall support at least 5 System Administrators and 10 concurrent Users with read-write capability and further 50+ Users using a read-only version.  During an Election/Referenda period the EMS shall support at least 20 concurrent users using the main application capable of editing the Register.  *Provide supporting information of how the EMS will support this volume in terms of capacity and licences.* | M |  |  |
|  | The EMS shall be support the following data volumes:   |  |  | | --- | --- | | **Indicative Data Volumes** | | | Total Number of Properties | 47,896 | | Total Electorate | 75,176 | | Total Number of Postal Votes | 16,002 | | Total Number of Polling Districts | 170 | | European Parliamentary Constituency (North West) | 1 | | Parliamentary Constituencies | 3 | | Borough Wards (1 Member) | 14 | | Borough Wards (2 Members) | 9 | | Borough Wards (3 Members) | 8 | | Parish Councils (non warded) | 54 | | Warded Parish Councils | 6 |   The EMS shall have the capability of supporting growth in data volume expected of up to 5% per year from the baseline of Council’s current Electoral Register.  *Provide details of the maximum number of data volumes that the EMS can support at the Tendered Pricing.* | M |  |  |
|  | The EMS shall be flexible enough to adapt to meet changes to statutory compliance and regulatory requirements, e.g. in respect to data capture requirements, processes, reporting, new electoral events, security, data protection etc.*,* in a timely manner to ensure that the implementation timescales of public bodies are adhered to.  *In the response:*   * *detail what provision and assistance will be provided to enable the Council to continue to meet its legislative, statutory and regulatory obligations for the duration of the contract* * *detail how the EMS Provider shall be kept informed of changes and future requirements from the Electoral Commission and/or other relevant public bodies impacting on the Council’s elections service* * *detail how changes in the functionality of the EMS shall be developed to meet the implementation timescales for legislative, statutory and regulatory changes* * *confirm that the support and maintenance of the EMS shall include all legislative, statutory and regulatory changes as standard and at no additional cost for the duration of the contract, including any optional extensions* | M |  |  |
| **Rolling Registration Functionality (15%)**  The EMS shall provide the following rolling registration functionality: | | | | |
|  | The EMS registration functionality shall be Individual Electoral Registration (IER) operational and integrated within the EMS with work queues used to ensure Elector journeys are visible to the User. | M |  |  |
|  | The EMS shall interface with the Individual Electoral Registration Digital Service (IERDS) and meet Cabinet Office specification for the secure transfer of data for the duration of contract. | M |  |  |
|  | The EMS shall have the ability to produce the following registers:   * Published register(s) * Monthly Registers * Audit Register * Historical Published Registers * Test Register | M |  |  |
|  | The EMS shall have the ability to:   * produce bar-coded Household Enquiry Forms (HEF) and Invitation to Register (ITR) forms and email an ITR form in line with current guidance * produce bar-coded absent vote forms for an Elector * view any images stored against an Elector or Property * process HEFs, ITRs and all other relevant forms efficiently after scanning the image against the relevant Elector or Property * process records individually or multiple records concurrently as required * process multiple green matched applications at the same time * allow for the analysis of duplicate entries and include a simple merge function * record when correspondence has been sent to an Elector or Property and have a facility to send a reminder when a response has not been received | M |  |  |
|  | The EMS shall have the ability to:   * process household and individual registration form requests * add an Elector * delete an Elector * change the address for individual and household * publish monthly Registers in paper and digital format * list Elector detail amendments (before and after images and date of change) * record the nationality and franchise entitlement * record an Elector as ‘opted out’ or ‘permanently opted out’ * record Attainer’s date of birth * record when an Elector requires an absent vote (postal, proxy or postal proxy requirement) * record an Elector’s death * change of absent voting selection for individual and household * scan postal and proxy applications to Elector * move blocks of electors between polling districts * process declaration Electors (i.e. service voters, overseas voters, declaration of local connections, Crown Servants and British Council Employees and anonymous voters) and ensure that reminders are set up for the appropriate period * identify and scan non-bar coded documents of Electors or Property * provide a full audit trail of all Elector changes and contact * automatically produce acknowledgement and confirmation letters for all applications * select and extract Electors with different franchise markers * re-number the Register | M |  |  |
|  | The EMS shall have the ability to enable searches by:   * polling district * unique property reference number * Elector by name (or part of) * Property address (or part of) * barcode * postcode * GDS reference | M |  |  |
|  | The EMS shall have the ability to create and print and/or email reminder letters of expiry date to:   * service and overseas voters * postal voters | M |  |  |
|  | The EMS shall have the ability to provide data extracts from the Electoral Register for:   * credit reference agencies * political parties * identified government bodies * jury service * printing purposes * requests for specified criteria e.g. overseas electors, postal voters, etc. | M |  |  |
|  | The EMS shall have the ability to collate, print and extract data in relation to the production of the full and edited Register to include:   * Polling district * Parish/town ward * Parish/town * Ward/town area * Electoral division * Parliamentary constituency or part thereof * European Parliamentary Constituency or part thereof * Police Area or part thereof | M |  |  |
|  | The EMS shall have the ability to:  make amendments to the front cover of a Register and produce the Register in paper or digital form in a timely manner (maximum 1 hour per 100,000 electors) | M |  |  |
|  | The EMS shall have the ability to:   * control the sequence of Electors * control the sequence of Properties | M |  |  |
|  | The EMS shall have the ability to produce standard returns (RPF29) and Performance Indicators Data Submission reports in the format as required by the Electoral Commission, including any future changes required by the Electoral Commission. | M |  |  |
|  | The EMS shall have the ability to hold a separate Register applicable to an election event and where multiple Registers are held, all shall be capable of being updated with one transaction, e.g. postal votes. | M |  |  |
|  | The EMS shall have the facility:   * of selecting Properties and Electors at random for surveys * to run Neighbourhood Planning Referenda on non-coterminous polling district boundaries * to inform other Election Register Officers (EROs) of electors moves and to receive updates from other EROs | M |  |  |
|  | The EMS shall have the ability to perform bulk removals and deletions of Electors by:   * expired absent voters information * non-responding Properties | M |  |  |
|  | The EMS shall have the ability to produce street indexes for each polling district register and be able to calculate the cost of the Register. | M |  |  |
|  | Following any changes which require a notice of alteration or full or open Register to be published the EMS shall have the ability to automatically re-number the Register in either Property or alpha name order. | M |  |  |
|  | The EMS shall have the ability to:   * conduct reviews into registration and maintain an audit trail of correspondence and action taken as part of the review * produce initial correspondence and reminders when Electors have not responded to review to registration including letters and forms | M |  |  |
| **Boundary and Property Maintenance Functionality (15%)**  The EMS shall provide the following boundary and property maintenance functionality: | | | | |
|  | The EMS shall have the ability to create a new:   * boundary * property * street | M |  |  |
|  | The EMS shall have the ability to:   * move house between boundaries for Registered Electors * move part or whole street * move polling districts   *In the response explain the EMS’ functionality for range of house number or odd or even numbers between boundaries.* | M |  |  |
|  | The EMS shall have import/export capability with other electoral management systems in relation to cross-boundary provisions, e.g. Elector details, Property details, Personal Identifier (PI) checking and results display.  *In the response include details of the electoral management systems that the EMS is able to import and export data.* | M |  |  |
| **Elections/Referenda Preparation Functionality (15%)**  The EMS shall provide the following elections/referenda preparation functionality: | | | | |
|  | The EMS shall have the ability to:   * create an election * establish an electoral timetable * create and extract ballot paper proofs * produce election timetables without creating an election * change ward boundaries * produce ballot paper allocations * allocate voters to polling stations * manage polling station data e.g. re-numbering | M |  |  |
|  | The EMS shall have the ability to:   * specify the ballot paper prefix and percentage of ballot papers required * allow for blank ranges to be allocated to Overseas Electors and spares in order to support the efficient dispatch of postal votes and allocation of replacement packs * calculate the number of ballot papers for each Polling Station accounting for eligible Electors, Absent Voters and the required percentage | M |  |  |
|  | The EMS shall include a database of all buildings and locations used for electoral purposes (polling stations/count venues) including:   * booking contact details * contact and key-holder details * hire fees * account payee details including bank account details to enable BACS payments * information regarding facilities at venue * general notes * vendor number * identification of local authority owned buildings that require security and closure | M |  |  |
|  | The EMS shall have the ability to scan and store against a venue record a range of documents in respect of venue booking, including response from premises:   * regarding availability for use * accepting/rejecting the use of premises | M |  |  |
|  | The EMS shall have the ability to support staff to process the following enquires from the general public:   * confirm if on Register * confirm voting arrangements * request for absent vote(s), * confirm polling station for Elector * confirm that postal vote has been received * request for postal vote re-issue * confirm elected representative information | M |  |  |
|  | The EMS shall have the ability to run full postal voting schemes. |  |  |  |
|  | The EMS shall have the ability to:   * allocate ballot paper numbers to absent voters * cancel and re-issue ballot papers | M |  |  |
|  | The EMS shall have the ability to:   * maintain a log of processed votes * allow the Council’s Contact Centre staff to view individual status of postal votes processed | M |  |  |
|  | The EMS shall have the ability to produce notices, as a minimum:   * casual vacancy notice * notice of election including all areas and number of seats for election * statement of persons nominated * notice of election agents * notice of poll * situation of polling stations * provisional result * declaration of result * uncontested election results * poll abandoned or countermanded   The notices should retain their original publication date. | M |  |  |
|  | The EMS shall have the ability to produce the full range of stationery items to be used for Elections/Referenda, including:   * ballot papers – including the ability to allocate blank ranges to both overseas postal votes and spare postal packs * ballot paper accounts detailing the number range of ballot papers allocated to the polling station * labels for Electors, polling stations, Candidates etc., * corresponding number lists for polling stations and postal votes * polling station registers including details of Electors who are not eligible to vote at the polling station identified * the EMS shall be able to split the Register over multiple polling stations * list of postal, proxy and postal proxy votes * stationery required by Presiding Officers at polling stations e.g. lists that Presiding Officers are required to complete * extract poll card data to allow printing in-house or via external printer | M |  |  |
|  | The EMS shall have the ability to:   * create and email letters of appointment for all elections staff, including multiple opening sessions * create and email letters to agents and candidates regarding election details * directly email election staff, agents and candidates * create and send SMS texts to polling station staff * permanently delete staff, including marked as deceased * log training sessions for staff and which session they are attending, produce attendance lists and allocate payment |  |  |  |
|  | The EMS shall provide flexible staff payment functionality including:   * payment by BACS * production of payment schedules * production of financial reports * produce a compliant import file (CSV) for the Council’s SAP payroll system to enable staff payments to be made * production of itemised payslips * detailed payment statements * calculate payment amounts automatically taking into account combined polls * create a range of job types and associated rates of pay and be able to apportion the pay rate to different election types when combined polls take place * set variable pay rates for percentage response rates and non-responding properties for the annual canvass * calculate payment amounts for canvassers automatically taking into account response rates etc., | M |  |  |
|  | The EMS shall have the ability to produce worksheets for the allocation of polling staff to polling stations by ward and the ability to transfer polling staff between polling stations. | M |  |  |
|  | The EMS shall have the ability to:   * search on staff by job type / team / name * search on candidates by name / agent / party / seat/ ward | M |  |  |
|  | The EMS shall have the ability to:   * print street indexes per polling station * print A4 labels for ballot boxes | M |  |  |
|  | The EMS shall have the ability to scan and store a range of documents for election and canvass staffing, including:   * responses regarding availability for work * accepting/rejecting their appointment * storing passports and other documentation | M |  |  |
|  | **Nomination Set Up**  The EMS shall have the ability to:   * produce nomination packs for all electoral areas and all types of elections pre-populated including consent to nomination, political party description authorisation, appointment of agent forms etc., * create political parties within the EMS which can then be linked to the relevant candidate and party emblem * add political party emblems directly from the Electoral Commission website and store them in the EMS * produce a draft ballot paper including candidate’s details and party emblems in a variety of formats including Word and PDF * check the validity of nominations by electoral registration numbers or elector names * enable candidate nominations * enable proof of nomination papers and store them before acceptance * input candidates’ details from nomination papers and consent to nomination and retain this information to produce all documentation required for the election * check the electoral number and provide the elector’s name for disclosure on the statement of persons nominated * record if the nomination is valid or invalid including the reasons for invalidity * produce the statutory notices populated accordingly | M |  |  |
|  | **Postal Vote Opening and Postal Voter Personal Identifier (PI) Verification**  The EMS shall have the ability to:   * record automatically information on cancelled and reissued postal votes * scan returned postal voting identifier forms against the relevant elector * collect, adjudicate postal voting statements and matching ballot papers * record signatures, dates of birth and verify the signature against the relevant elector * accept or reject the signature or date of birth (or both) and record the reason for rejection * allow for decisions on rejected postal votes to be taken immediately or saved until the end of the postal vote opening session in * update the elector record to state that the postal vote has been returned in real time whilst on the Council’s network * set the tolerance level for signature verification checking * run a ‘mix and match’ facility which allows the recording and reconciliation of postal voting statements and ballot papers with the same number that arrive separately   For any signatures and dates of birth that the EMS does not automatically verify, the EMS shall the ability to view simultaneously the scanned postal vote statement signature and date of birth and the application signature and date of birth held against that Elector in the EMS. |  |  |  |
|  | The EMS shall have the ability to enable the scanning of security statements and ballot papers to be undertaken in a non-networked environment using an import routine to record images/responses and validity on the main system. | M |  |  |
|  | Prior to each Election the EMS shall have the ability to test the barcodes and Elector details from printers without the need to create and delete elections. | M |  |  |
| 1. Y | **Postal Vote Identifier Refresh/ Rejection Notices**  The EMS shall have the ability to:   * produce Postal Vote Identifier refresh forms/letters and reminder forms/letters in a variety of formats including: * complete form including Elector details from the system as required by the regulations * data extract of Elector details to send to third party printers for production of the forms/letters * in a specific order e.g. delivery order, meet royal mail requirements to achieve discounted rates * in a format allowing for specific design * collect, store and record the returned Postal Voting Identifier form against the relevant Elector * record and store signatures and date of birth against the relevant Elector * retain more than one image against an elector so that the original application with the date of birth on can be retained | M |  |  |
| **Poll Day and Count Functionality (15%)**  The EMS shall have the following poll day and count functionality: | | | | |
|  | The EMS shall have the ability to put barcodes on ballot box labels and then scan the barcode when they arrive at the count venue to view real time reporting on the ballot boxes which have arrived and those outstanding. | M |  |  |
|  | The EMS shall to have the ability to produce wristbands or badges for staff, candidates, agents, guests, press and observers who attend the count which contain a barcode so that on arrival at the count venue the barcode is scanned recording the time of arrival and then on departure recording the time of departure.  This functionality should enable the scanning of the barcode whenever they leave and re-enter the venue so details of who is in the count venue at any one time can be identified. |  |  |  |
|  | The EMS shall have the ability to complete the count paperwork and checks, including:   * recording number of ballot papers on the ballot paper account and in the ballot box * showing any variations between received and counted * record numbers of unused ballot papers * recording turnout by polling station * producing verification statements * recording the number of votes by candidate and rejected type * identifying variations between verification and counted figures * operating in a mini-count environment and collating results * operating remotely in a non-networked count location and then importing results back into main system * providing an on screen overview as to the current status of each counting area i.e. verified, count started, declaration printed and result declared * providing a result display screen, which includes ward overviews, vacant seats, political balance and in depth scrolling results screens showing votes cast and percentages * provide declaration of results | M |  |  |
|  | When closing down Elections/Referenda the EMS shall have the ability to record:   * staff evaluations and ratings of performance * payments of staff * election accounts and claims | M |  |  |
|  | The EMS shall have the ability to record and maintain payments of all accounts (staff, suppliers, venues) to produce election accounts in the format required by the UK Government’s Election Claims Unit. | M |  |  |
| **Annual Canvass Functionality (15%)**  The EMS shall have the following annual canvass functionality: | | | | |
|  | The EMS shall have the ability to produce all types of Household Enquiry Forms (HEF) including initial forms, reminder forms and canvass forms and all types of Invitation To Register (ITR) forms including initial forms, reminder ITRs, canvass ITRs in a variety of formats including :   * complete forms including Elector details with the ability to include/exclude relevant information such as the opt out marker, absent vote arrangements, remote registration unique references * data extract of Elector details to send to third party printers for production of forms with the ability to include/exclude relevant information such as remote registration (SMS text, telephone and online), unique references and opt out marker and absent vote arrangements * online, SMS text and telephone service for changes and no changes to HEFs * in a specific order e.g. delivery order, meet royal mail requirements | M |  |  |
|  | The EMS shall have the ability to produce worksheets to be used for the Annual HEF Canvass e.g. where notes can be made by Canvassers. | M |  |  |
|  | The EMS shall have the ability to cascade Electors to the published Register during the annual canvass in the event of an election during this period. | M |  |  |
| 1. Y | The EMS shall have the ability to:   * process web, SMS text and telephone responses * capture e-mail addresses and telephone numbers * send electronic canvass and registration forms | M |  |  |
|  | The EMS shall have the ability to process staff:   * allocations * training records * performance records * payments, including expenses |  |  |  |
|  | The EMS shall have the ability to process:   * unchanged Canvass Forms in batches * opt out Canvass Forms in batches * all in and all out (complete change in household) Canvass Forms in batches * part changes in batches | M |  |  |
|  | The EMS shall have the ability to:   * scan bar-coded HEF Forms and ITRs * extract data of bulk HEF Forms, ITR Forms, Reminder Forms, Notification Letters, Pre-election Notification Letters for printing * reprint HEF Forms for selected properties * document imaging of HEF Forms both A4 and larger | M |  |  |
|  | The EMS shall have the ability to set and allocate delivery or canvass rounds (which may be full polling districts or part thereof) to enable the data to be produced in this manner and have a method for staff allocation. This shall include the allocation of properties into specific canvass rounds and the ability to report on this basis. | M |  |  |
|  | The EMS shall have the ability to:   * view all forms on screen while updating the information, including the ability to add any markers and requests for postal vote applications * check all inputting of Elector details by way of a checking queue facility * extract details for all Electors who have requested postal voter application forms between particular date ranges and produce either letters or a data file to send to 3rd party print supplier * produce a letter for an Elector or property requesting further information when all the information required is not provided, record when this has been sent and returned and if no response the user should be able to produce a reminder letter | M |  |  |
|  | The EMS shall have the ability to continue to use the EMS whilst updating information and/or bulk processing to respond to telephone queries and undertake checks. |  |  |  |
|  | The EMS shall have a facility to bulk enter Elector details to multi tenancy properties such as university halls of residence and care homes by importing from Excel data supplied by the universities/care homes. | M |  |  |
|  | The EMS shall have the ability to identify Electors with one character forenames. | M |  |  |
|  | The EMS shall have the ability to set Canvass Forms status flags e.g. forms sent, reminder sent, etc. | M |  |  |
| **Management Reporting (15%)** | | | | |
|  | The EMS shall include a standard set of management reports and have the ability to customise standard reports and generate user defined and ad-hoc query reports.  *In the response include details of the:*   * *methods/tools used to generate reports* * *level of interrogation/reporting provided, i.e. on all database fields, real time, snapshot, historic etc.,* * *required skill set of user to generate reports* * *report security (e.g. generation, access, and printing)* * *support for performance and trend analysis* * *report/data presentation (e.g. dashboards, graphs, wallboards, print preview etc.)* * *export formats (e.g. Excel, Word, XML, CSV, PDF etc.,) and system links e.g. send to email)* | M |  |  |
|  | The EMS shall have the ability to produce a Performance Indicator Data Submission Report. | M |  |  |
|  | The EMS shall have the ability to produce a Ballot Paper Allocation Report. | M |  |  |
|  | The EMS shall have the ability to provide statistics and analysis on returned ballot papers and returned postal voting statements. | M |  |  |
|  | The EMS shall have the ability to produce statistics and analysis of marked Registers of returned postal votes. | M |  |  |
|  | The EMS shall have the ability to generate payment lists for staff, including the amalgamation of multiple jobs. | M |  |  |
|  | The EMS shall have the ability to generate a report on door-to-door canvass responders and non-responders on a daily basis. | M |  |  |
|  | The EMS shall have the ability to generate a report on candidate results data. | M |  |  |
|  | The EMS shall have the ability to generate a report on appointed election staff and on staff allocations. | M |  |  |
|  | The EMS shall provide an audit trail in a clear and understandable format of all documents life history. | M |  |  |
| **Public Self-Serve (5%)** | | | | |
|  | The Council Plan 2015-19 includes the priority *“creating a sustainable business strategy”* within which is the aim of providing enhanced website functionality and increasing electronic demand and automation.  The Council’s EMS should support this priority.  *Provide details of how the EMS currently supports and enables the public to self-serve and demonstrate how that represents improved efficiency and value for money for electoral services. Details should also include future development plans for the EMS in this respect.* |  |  |  |
| **Data Requirements (5%)** | | | | |
|  | The EMS shall have an integrated data matching tool capable of matching data sets produced from systems for:   * Council tax * Benefits * Adult social care * Council’s customer relationship management (CRM) | M |  |  |
|  | **Data Model**  The EMS shall be compliant with the Council’s data model requirements as specified in the EMS Data Model (Schedule 7).  *In the response confirm that:*   * *the EMS shall be capable of accommodating the Council’s data requirements as specified* *in the EMS Data Model (Schedule 7)* * *any customisations and/or modifications to data fields (e.g. inclusion of user defined data fields) to accommodate the Council’s EMS data requirements shall be undertaken by the EMS Provider as part of the installation and configuration process*   *The EMS’s data schema documentation can be included as evidence of compliance.* | M |  |  |
| **Category 2 – Technical Requirements and Security** | | | | |
| **System Documentation (Pass/Fail)** | | | | |
|  | Bidders are required to provide the following system documentation (in soft electronic copy):   * Installation Guide * System Administration Guide * Configuration Guide * Report Development Guide | M |  |  |
| **System Architecture (17.5%)** | | | | |
|  | The EMS system architecture and supporting components shall be compatible with the Council’s ICT Technical Environment (Schedule 8).  **On Premise**  For an on-premise solution, provide a comprehensive description of the component parts detailing how these fit the Council’s ICT Technical Environment.  Details to include:   * deployment method(s) to workstation * network requirements, to include bandwidth and latency * firewalls, to include which ports and protocols are required (this is applicable even if the EMS application is not talking to the internet as the Council may restrict access using internal firewalls) * workstation requirements and configuration, to include:   + hardware requirements   + software pre-requisites e.g. Net Framework   + third party software e.g. Java   + configuration changes to existing software e.g. Internet Explorer security settings * server requirements and configuration, to include:   + server type (physical and/or virtual)   + operating system(s)   + data storage requirements   + hardware requirements   + software pre-requisites e.g. Net Framework   + third party software e.g. Java   + configuration changes to existing software e.g. Internet Explorer security settings   + backup and restoration requirements * confirm that the server architecture shall operate on a supported Microsoft server platform running under vmware's esxi hypervisor * confirm the maximum number of Users and Data Volumes that the proposed architecture is intended to support   **Off Premise (Externally Hosted Solution)**  For an externally hosted solution provide a description of the component parts detailing how these fit the Council’s ICT Technical Environment.  Details to include:   * secure hosting * hosting location(s) * user access methods * deployment method to workstation * network requirements, including bandwidth and ports required * workstation requirements * workstation configuration and any third-party software required (e.g. Java) * configuration changes to existing software e.g. Internet Explorer security settings * backup, restoration and disaster recovery services * confirm the maximum number of Users and Data Volumes that the proposed architecture is intended to support * User data transiting networks should be adequately protected against tampering and eavesdropping. * User data, and the assets storing or processing it, should be protected against physical tampering, loss, damage or seizure. | M |  |  |
|  | The EMS shall store data in an industry recognised database technology. The Council’s preference is Microsoft SQL server 2012+. | M |  |  |
|  | The EMS shall operate on Microsoft Windows 10 Enterprise v1703 (Creators Update) desktop environments. | M |  |  |
|  | The EMS shall integrate with Microsoft Office Product Suite 2013 or 2016. | M |  |  |
|  | **Unified Messaging**  The EMS shall support unified messaging to and from contacts (Electors, Candidates, Agents, Property, Staff etc.,) within the system.  *In the response include details of:*   * *sending and receiving of email* * *capability of sending and receiving SMS text messages* * *integration capability with the Council’s corporate email system (Microsoft Exchange On-Line)* |  |  |  |
|  | **Support for Mobile Devices**  The EMS’s interface shall be responsive and optimised for use on mobile devices.  *In the response include details of:*   * *the device types and mobile operating systems that are supported (e.g. smartphones and tablet devices, IOS, Android and Windows)* * *how they are supported, e.g. via an application or browser* * *any restrictions, constraints, limitations and loss of the system’s functionality when accessed using a mobile device* * *the approach to ensure ongoing support for new devices and evolving technologies* |  |  |  |
|  | **Data Importing and Exporting**  The EMS shall support the import and export of data to and from the system in multiple data formats and file sizes, CSV, TSV, .CF, Microsoft Word, Excel, and PDF as a minimum.  *For each file type supported, detail how such file types are dealt with by the EMS.*  *Specify any limits on data sizes that can be handled by the EMS and any other restrictions that apply to this area of functionality.*  *Detail any file compression facilities to aid data transfer e.g. via email.*  *Tool(s) available to the user to import/export data and the skillset required to use the tool(s).* | M |  |  |
|  | **Maintaining Data Integrity and Quality**  Data integrity and quality is effectively maintained and managed by the EMS.  *Provide details of how data integrity and quality is maintained and managed throughout the EMS, including how the quality of imported data is managed.* |  |  |  |
| **Scanning, Printing and Reporting (17.5%)** | | | | |
|  | The EMS shall support printing and scanning using local and networked devices.  The following equipment shall be supported:   * Network Printing: Konica Minolta Multi-Functional Device (MFD) and HP LaserJet M252dw printers with print queues on Microsoft Server 2012 print server. * Fujitsu FI6670 scanners (TWAIN) * Local Printing: HP LaserJet M252dw   *In the response include details how the EMS can use the above equipment and whether any constraints or limitations apply.* |  |  |  |
|  | The EMS shall have the ability to scan documents of varying sizes (A3, A4, and A5), resolutions and quality, in colour, in greyscale and in black and white. |  |  |  |
|  | The EMS shall support single-sided with automatic or flat-bed document feed. | M |  |  |
|  | The EMS shall support double-sided scanning with automatic or flat-bed document feed. |  |  |  |
|  | The EMS shall support single document scanning and batch scanning of documents in the same document type. | M |  |  |
|  | The EMS shall support viewing of scanned documents during or after scanning with options to reject, re-scan, accept or retrieve. |  |  |  |
|  | The EMS shall provide an audit of scanned images by automatically recording the date of scanning and the user responsible for the scanning. |  |  |  |
|  | The EMS shall provide Batch Totals for batch scanning. |  |  |  |
|  | The EMS shall allow index details to be added during the scanning process so that the user does not have to wait for the batch scan to be completed before starting to add index details. |  |  |  |
|  | The EMS shall have a document In-Tray facility to receive all scanned documents and to enable them to be indexed, automatically routed, allocated, actioned and stored. |  |  |  |
|  | The EMS shall support the Microsoft Windows Print System. | M |  |  |
|  | The EMS shall have the ability to produce printed copies of document images that would be acceptable for use in any UK court or other formal proceedings in accordance with the appropriate BSI BIP 008 & 009 and all subsequent revisions. |  |  |  |
|  | The EMS shall have the ability to print documents that have been archived. |  |  |  |
| **Data Retention and Archiving (17.5%)** | | | | |
|  | The EMS shall provide comprehensive data retention and archive functionality.  The EMS shall have the ability to manage all aspects of election data management from within the system such as archiving data, purging data, setting data retention periods and other timescales relating to data management.  *In the response include details of:*   * *the archive and retention protocols employed by the EMS as standard* * *how the EMS shall allow the Council to implement its own archiving and retention policies* * *the data archiving medium/media that the EMS supports* * *how EMS Users can view and use the archived data in the EMS e.g. enter search criteria, view it and any linked documents, download/export it, report on it, move it back to live etc.* * *data management features which assist with identifying data for archive/retention e.g. metadata detailing type of data and date created* |  |  |  |
|  | The EMS shall be able to compress archived data to save on storage space. |  |  |  |
|  | The EMS shall have the ability to generate a report on archived data. |  |  |  |
|  | The EMS shall have the ability for Users to search for and retrieve any single archived document and group of archived documents. |  |  |  |
|  | The EMS shall allow all linked documents to be displayed when a document is processed or accessed. |  |  |  |
| **System Integration (16%)** | | | | |
|  | **LLPG Integration**  The EMS shall utilise the Local Land and Property Gazetteer (LLPG) to obtain addresses. This interface shall be maintained for the duration of the contract to accommodate any future changes to the NLPG (National Land Property Gazetteer) Data File Format (currently DTF 7.3)  The LLPG is contained within the Council’s Accolaid system by iDOX, an SQL database.  In exceptional circumstances where a local address cannot be found within the LLPG the EMS User shall be able to manually enter the address, however the EMS shall ensure that such addresses can be identified in the future for rectification.  *Detail the LLPG integration options available.*  *For information: Other 3rd parties/business systems have achieved this requirement by a full import of the LLPG followed by weekly imports of the LLPG in DTF 7.3 v3.1 format, which contains property additions, changes and deletions. The Council produces this weekly extract file and makes it available to the required business systems.* | M |  |  |
|  | **Integration Capability**  The EMS shall have proven integration capability with other business systems.  *In the response include details of:*   * *supported integration technologies, i.e. Web Services, API’s, SOAP etc.,* * *security applied to integrations* * *local authority used business systems the EMS is already integrated with e.g. Microsoft Office Suite applications, other EMS solutions, CRM solutions etc.* * *EMS integrations with any of the following solutions currently used by the Council:*   + *Individual Elector Registration*   + *Idox Accolaid*   + *Capita Academy* * *level of integration provided and the resulting business benefits and functionality provided to the EMS User as a result.* | M |  |  |
|  | The EMS shall enable the Council’s ICT staff, if required, to create and maintain integrations onsite independent of the EMS Provider. |  |  |  |
| **System Backup and Recovery (7 %)** | | | | |
|  | **Business Continuity**  The EMS shall include processes and procedures to protect the Council against system failure, as a minimum but not limited to:   * system integrity and operability * recovery after system failure * quick restore |  |  |  |
|  | The Council uses SQL Transaction Logging and database mirroring to allow recovery from a specific point in time.  The EMS should support this.  An off premise externally hosted EMS shall maintain a 99.9% service availability with no planned downtime during elections/referenda. |  |  |  |
|  | The EMS should support backup (standard installation locations) of non-database data such as reports, configuration files, server client software. This shall facilitate the efficient recovery of the system should a failure occur.  *In the response provide details of the system backup and recovery tools and processes utilised by the EMS other than standard file-level backup and recovery.* |  |  |  |
| **Maintainability (7%)** | | | | |
|  | The EMS should provide:   * a development environment for Council staff to either configure or develop business solutions into the system, prior to testing and subsequent release * a test environment for Council staff to test new releases prior to live implementation * a training environment for Council staff to test new releases prior to live implementation * a live environment |  |  |  |
|  | For all environments provided, e.g. live, test, train, development, the EMS shall provide the ability to keep them synchronised (configuration and data) to ensure consistency across the system estate. | M |  |  |
|  | The EMS should be compatible with packaging tools to assist in the rollout of client software. |  |  |  |
|  | The EMS shall be able to be managed and maintained with minimal support from ICT specialists.  *In the response detail the staffing resource, skillset and tasks required to administer the EMS, including details of which tasks are typically carried out by the system administrator(s) and those which shall require specialist ICT staff.* | M |  |  |
|  | Technical training shall be provided to Council ICT staff for them to be able to provide 0 – 1 level support on premise solution support. | M |  |  |
| **System Usability (2.5%)** | | | | |
|  | The EMS shall have the provision of a context sensitive online help facility with search functionality, which shall be capable to be tailored to the Council’s electoral service’s processes. |  |  |  |
|  | The EMS web interface for use by Council staff shall operate effectively on Internet Explorer 11 and Microsoft Edge. | M |  |  |
|  | The EMS web interface for use by the public shall operate effectively on Internet Explorer, Microsoft Edge, Google Chrome and Mozilla Firefox, Safari.  *Provide details of all browsers supported by the EMS, including support for Microsoft Edge and Apple Safari.* | M |  |  |
|  | Public facing web components of the EMS shall be compliant with WCAG 2.0 (technical standard) to level AA (as a minimum). | M |  |  |
|  | The EMS shall support agile working and be accessible via IP-Sec VPN and SSL VPN technologies  *Detail any loss of system functionality which results from using this method of connection to the EMS.* | M |  |  |
| **System Availability (2.5%)** | | | | |
|  | The EMS shall maintain system availability for users during operational use.  *Provide details of any system or user executed processes (e.g. running management reports) that will impact on user experience or client software performance.* |  |  |  |
| **System Performance (2.5%)** | | | | |
|  | **Optimising Performance**  An underperforming EMS will have a serious adverse impact on the work of the Council. The Council requires assurance that the EMS shall be optimised for performance and quality of service.  The EMS shall perform well for all user groups and device types, (where applicable) scaling to support 100’s of simultaneous system connections during Elections/Referenda, responding quickly to user demands, spikes in demand volume as well as long term growth.  *In the response detail how the EMS’s system architecture shall ensure a responsive, reliable, resilient and quality of service, e.g. response times, processing speeds, network bandwidth capacity/elasticity, scalability etc.*  *Include in the response indicative performance times for undertaking key processes associated with the delivery of an election/referenda, for an electorate of the size stated in the User and Data Volumes above.*  *Processes should include:*   * *production of poll card data* * *production of postal vote data* * *processing a batch of 50 registration forms* * *processing a batch of 50 absent vote applications forms* |  |  |  |
| **System Security (10%)** | | | | |
|  | The EMS shall support user authentication and each user shall have a unique login.  *In the response detail how system access security is managed by the EMS to ensure that only authorised users access the EMS and only see the data and perform the functions they require, including details of:*   * *user access inactivity timeout* * *role based permissions and the granularity of permission that can be applied to them* |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | The EMS shall store the data securely, encrypting data wherever possible. This shall be for a minimum of but not limited to:   * Files * Records * Documents * Caches * Backups |  |  |  |
|  | The EMS shall ensure that data is secure during transit. This shall be a minimum of but not limited to transfer between:   * servers * server and client |  |  |  |
|  | The EMS should support Active Directory (AD) pass-through authentication. Membership of a specified Active Directory group shall allow access.  For on premise solutions, the EMS shall allow single sign-on for system Users utilising the Council’s Active Directory 2008 R2.  *If the EMS does not utilise AD pass-through authentication the solution should achieve equivalent strength and configurability of password management as that provided by Windows Active Directory, including control over minimum password length, password composition and complexity, and frequency of password changes.* |  |  |  |
|  | All passwords stored by the EMS shall be encrypted.  Passwords stored locally shall be encrypted and salted to AES 256 equivalent.  For an off premise, externally hosted EMS complex passwords shall be used (be at least 8 characters long, and contain, at least, one lower case letter, at least, one upper case letter, at least, one number, and at least, one symbol, and be different from the last 20 passwords previously used). |  |  |  |
|  | The EMS shall be software compatible Kaspersky Security 10 for Windows Server (10.0.0.486) and Kaspersky Endpoint Security 10 for Windows (10.3.0.6294). |  |  |  |
|  | The EMS shall be Lightweight Directory Access Protocol (LDAP) aware or equivalent, provide roll based access control preferably interfacing directly with Windows Active Directory.  Off premise externally hosted EMS shall be Security Assertion Markup Language (SAML) aware to ensure effective centralisation management of user accounts. |  |  |  |
|  | **System Audit**  The EMS shall have policy based user management and maintain an access log and data modification identifiable to User login for audit purposes.  *In the response detail the range and scope of audit functions facilitated by the EMS, e.g. transaction logs of core system activity, id of the user who made the change, time and date of the change, logging of administration events, making administration logs available for audit.* |  |  |  |
|  | **Vulnerability Testing**  The EMS Provider shall be responsible for remediating vulnerabilities identified in their software in a timely manner and commensurate with the threat.  The Council conducts an annual ITHC Health Check to ensure code of connection compliance with the Public Services Network. Security scanning tools with be used to test software and application vulnerability ensuing that on premise deployed solutions and components are secure and not vulnerable to unauthorised access or threat.  An on premise based EMS or any locally deployed EMS components shall be required to successfully pass the IT Health Check  Where vulnerabilities are identified the EMS Provider shall work with the Council to remediate the issue(s). |  |  |  |
|  | **Secure Software Development**  The EMS software shall be securely developed following industry standards and best practice to maintain the security of the EMS to prevent:   * unauthorised access and disclosure of Council data * malicious attempts to disrupt the Council operations * unauthorised access to Council’s information processing facilities   *In the response provide details of the approach to the security of the EMS software that demonstrates compliance with the following good industry practice guidelines:*   * *A Secure Development Lifecycle (SDL) programme shall be followed.* * *Industry standard and recognised methodologies shall be used for the security testing of software, including the use of periodic independent third party security assessments, at appropriate times, in the application development lifecycle.* * *Software development and testing teams shall be appropriately trained and kept up to date in software application security.* * *From software vulnerability identification to the delivery of patches shall be done in a timely manner commensurate with the threat.* * *If the operating system is patched or upgraded to address known vulnerabilities the software application shall continue to* *work unaffected.* * *Security testing shall be conducted separately from functional testing of software.* * *The security impact of any outsourced / subcontracted/ third party components used in software shall be assessed and changes regularly security tested.* |  |  |  |
|  | The EMS’s architecture shall ensure data security.  *In the response provide a security infrastructure plan to demonstrate the security of the EMS. This shall include the security of any data transfers to and from the solution from any other system/ environment and third party data sources.* |  |  |  |
| **Category 3 – Implementation and Support** | | | | |
| **Implementation (60%)** | | | | |
|  | **Project Management**  The delivery and implementation of the EMS shall be project managed by the EMS Provider.  *In the response describe the complete implementation process. The Council wishes to gain an understanding of how the planning and delivery of the implementation project will be managed by the EMS Provider. Details should include:*   * *planning and preparation for implementation* * *project management* * *governance and controls* * *change management* * *monitoring and reporting* | M |  |  |
|  | **Risk Profile**  The risks to the successful implementation of the EMS by the proposed Go Live Date (February 2018) shall be identified and managed.  *Based on experience from similar EMS implementation projects provide a risk profile of the known and anticipated risks with proven risk mitigation actions that should be taken by the Provider, the Council and Users as appropriate.* | M |  |  |
|  | **Implementation Plan**  The EMS shall be implemented and operational by the proposed Go Live Date (February 2018).  *Provide a high level Implementation Plan for the key steps and actions that shall be taken (with a timetable) to ensure that the solution shall be fully operational from Go Live Date.*  *The implementation plan should be of sufficient detail for the Council to understand what actions/specific tasks will the responsibility of the EMS Provider and that of the Council.* | M |  |  |
|  | **Technical Installation and Configuration**  The technical installation and configuration of the EMS shall follow an established proven process to ensure the EMS is implemented and operates as specified.  *In the response provide details of the technical installation and configuration process of the proposed solution. Details should include knowledge transfer to Council technical staff to enable disaster recovery and subsequent re-installation and configuration.* | M |  |  |
|  | **Data Migration and Cleansing**  The EMS Provider shall be responsible for the data migration from the Council’s existing electoral management system.  *In the response details should include:*   * *approach to be taken* * *proven track record of data migration from the Halarose EROS system.* * *phasing of the data migration process* * *what specific considerations will be applied to migrating sensitive personal information* * *any software tools that will be used to carry out the data migration and how will these be provided* * *any migrated data sizing constraints e.g. how many year’s data can be migrated to the EMS* * *the anticipated level of accuracy* * *anticipated timescales* * *Council resource requirement* |  |  |  |
|  | **Training**  The EMS Provider shall provide sufficient training; knowledge and skills transfer to enable the Council to use and support the EMS effectively.  A full set of user guides and training materials for each user role and all operational procedures that are used for the EMS shall be available.  *In the response provide details of the training to be provided for the introduction and continued operation of the solution.*  *Training shall be carried out on Council premises. Detail any minimum/maximum attendance capacity for any training sessions.*  *Details should include:*   * *Course Duration.* * *Target Audience, e.g., Managers, Administrators, Key Users, Technical Users, etc.* * *Topics covered/course content.* * *Council resources required for on-site training, e.g. rooms and facilities.* * *Number of available training places included in the cost.*   *Provision and cost of any additional and future training offered (cost should also be shown in Pricing Schedule).* | M |  |  |
|  | **Online Help**  On-line help, process and procedural guidance relating to the EMS shall be available. |  |  |  |
|  | **Solution Testing**  The EMS implementation and delivery shall be subject to a Test Plan detailing the Deliverables, Acceptance, Success Criteria and Measurements and the Acceptance Sign–Off Process.  *In the response provide details of the approach and methodology that will be used to ensure that all aspects of the EMS are successfully tested and accepted. An outline Test Plan should be included.*  *Details should include:*   * *Functional Testing – ensuring that each element of the EMS meets functional requirements as outlined in this specification.* * *Non-Functional Testing – ensuring that the EMS is ready and tested for prescribed conditions such as operating systems, browsers, backup/restore, as defined in this specification.* * *Ready for Operations Testing – ensuring that the local configuration, scalability and performance are validated and the EMS can be implemented.* * *Data Migration Testing – ensuring that the EMS can access and consume the specified data, including user access and permissions to that data.* * *User Acceptance Testing – ensuring that the EMS operates as expected and that any supporting documentation is accurate and suitable for the intended purpose.* * *Integration and Interface Testing – ensuring the EMS’s interfaces work correctly with no gaps in the data flow and adverse impact on functionality.* * *Performance Testing – ensuring the EMS under prescribed conditions provides acceptable performance and response times.* | M |  |  |
|  | **Council Resource**  The implementation and ongoing support of the EMS shall require minimal support from the Council’s ICT staff.  *In the response provide details of what support will be required from the Council (technical and non-technical) to implement the EMS and provide ongoing local support and maintenance, including support during an election/referendum.*  *The response should be of sufficient detail to enable the Council to understand its responsibilities with regards to the EMS, including specific tasks to determine the amount and level of resource that will be required for the duration of the contract.* | M |  |  |
| **Post Implementation Support (40%)** | | | | |
|  | **Support and Maintenance**  The EMS shall be fully supported and maintained post implementation.  The EMS Provider shall define and implement corrective action processes to ensure that all problems detected in the provision of software and services are logged, documented, assessed, and prompt and effective action is taken to resolve incidents, problems and correct adverse trends. The corrective action process shall address technical, system, service and security problems with the aim of preventing recurrence.  *In the response provide details of the support and maintenance that will provided for the EMS. Responses should include:*   * *Structure of the support available (e.g. desktop, server, database, application, interfaces, ERP, modules/layers)* * *Hours of support* * *Problem response and resolution times* * *Services Level Agreement (SLA)* * *Mechanisms used to assess and maintain quality of service, addressing service that falls short of agreed service levels* * *Solution resilience* * *Business continuity* * *Full and comprehensive user support documentation* * *Planned solution upgrades* * *Ongoing software development and patching to ensure compatibility with main system software components such as Windows, SQL and Oracle* * *How ongoing software development and patching is fully tested before installation in the Council environment* * *How many prior solution releases are supported and how far back are old versions fully or partially supported* * *How much notice is given to customers before the support of a version of the EMS is discontinued* | M |  |  |
|  | **Helpdesk Support Availability**  During non-Election and non-Annual Canvassing periods, the EMS helpdesk support shall be available to Council staff between 0900 and 1800 Monday to Friday each week.  During Election/Referenda periods, the EMS helpdesk support shall be available to Council staff between 0700 and 1900 Monday to Friday, extending to 2200 during key election timetable activity (such as transfer of candidate data to printers), and between 1000 and 1600 weekends and bank holidays.  For a count module the option to extend helpdesk support should be available to cover the duration of the Council count.  *In the response provide details of the extended and enhanced support available during Elections/Referenda confirming if this is available as standard in the ongoing support and maintenance of the EMS or provided as an optional extra cost.* | M |  |  |
|  | The EMS should generate events in the Windows Events Logs for troubleshooting purposes for the Client and Server installations. |  |  |  |
|  | The EMS standard support and maintenance shall include secure remote support access that shall be compliant to the Council’s ICT Third Party Information Security Policy.  *In the response provide details if the EMS includes supplementary means of administration and support of the system and how this can be securely remotely accessed.*  *Confirm that as standard practice the technical remote support resources are greater during implementations and upgrades across the EMS customer base, so that the service levels of support are maintained.* |  |  |  |
|  | **Future Proofing**  The EMS shall be future proofed via design, patching, upgrades and other maintenance processes.  As a minimum, where third party software is employed by the EMS, the EMS shall be compatible with the latest version of that software. E.g. if a web browser requires Java to function, the EMS shall always fully operate without issues or restrictions on functionality and performance with the latest version of Java. | M |  |  |
|  | **Patching Schedule**  A patching schedule should be maintained and available to allow the Council to plan maintenance activities.  The schedule should adopt the Common Vulnerability Scoring System (CVSS) to facilitate Council prioritisation. |  |  |  |
|  | **Product Development**  The EMS shall be continually developed and supported to ensure it meets the changing business needs of its customers and enables its customers to be fully compliant with all legal, statutory and regulatory requirements for electoral services.  The EMS annual support and maintenance shall include new software versions, releases and upgrades as standard for the duration of the contract, including any optional extensions.  *In the response detail the approach to upgrades and the management of change requests, post implementation. Details should include:*   * *management of planned upgrades* * *the testing processes used before a fix or new version of the EMS is released to customers* * *release notes providing information relating to enhancements, changes and resolution to problems* * *process for managing software defects* * *process for logging, tracking and escalating service issues once the EMS upgrade is in ‘live’ use* * *communications and engagement with the user community for product and service development and enhancements* * *process for logging and managing users’ change requests* |  |  |  |
|  | The EMS shall have the ability to extend, enhance and add functionality without the need for a major rebuild, e.g. incremental development, as opposed to wholesale system replacement. | M |  |  |
|  | **Product Roadmap**  The EMS shall have a defined product roadmap setting out the short and long term goals for the system over the next 2-5 years.  *In the response include:*   * *a copy of the EMS’s current roadmap and any relevant supporting documentation (attachments can be included in the bid submission)* * *how the development of EMS has adhered to the previous roadmaps over the last 3 to 5 years* * *how the customer can influence what developments are included and prioritised in the roadmap e.g. via customer user groups, online user community forums* | M |  |  |
|  | **Account and Contract Management**  The EMS Provider shall have effective account and contract management in place that will ensure the contract satisfactorily meets the Council’s requirements.  *In the response details should include:*   * *how the Council shall be kept informed of new developments* * *service review and performance monitoring of the delivery of implementation and on-going support services* * *procedures and processes (including escalation procedures) for dealing with customer dissatisfaction and/or complaints*   *Bidders should also include a copy of their proposed Service Level Agreement (SLA) for this contract.* |  |  |  |
|  | **Quality Management and Continuous Improvement**  The EMS Provider shall be expected to continually improve the way in which the EMS and support services are to be delivered throughout the duration of the contract to ensure the highest quality.  In the response outline the approach to quality management and continuous improvement that will ensure that industry standards and best practice is followed when delivering the scope of services for this contract. |  |  |  |
|  | **Technical Knowledge and Expertise**  The EMS Provider shall have sufficient resource and a system in place to provide efficient and effective source of information to the Council regarding the products and services within the scope of this contract.  *In the response describe the process by which staff:*   * *acquire, develop and maintain knowledge;* * *operate industry best practice, and* * *have the required expertise relevant to the delivery of the products and services for this contract.* |  |  |  |

**SCHEDULE 1: PRICING**

1. All elements of the Price(s) offered within the tender submission are to be fully identified to allow the Council to make a clear comparison across bidding organisations.
2. All prices that are applicable to this contract are to be inserted here.
3. Bidders are to submit fixed prices for the initial 36 month contract (3 years) and a 24 month (2 years) extension. The extension will be granted at the Council’s discretion.
4. Prices shall be fixed for the exception where market prices show a downward trend. The Council would expect the Provider to vary prices to reflect this trend.
5. The score available for “Price” within the tender submission accounts for 20% of the total score available.
6. All pricing indications are contained within this Schedule.
7. Day rates shall be based upon a standard working day of 8 hours which shall be calculated exclusive of any breaks. Day rates shall be inclusive of travel and subsistence expenses (e.g. mileage, hotel and food).
8. Pricing will be assessed using the CIPFA Pricing Score Method based on the percentage difference multiplied by the weighting.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Tender Price** | **Percentage Price Difference**  **(Tender price – lowest price / lowest price) x 100** | **100% - Percentage Price Difference** | **Resultant Sum x Percentage Weighting (40%)** | **Score** |
| £500 | 500-500/500 x 100 = 0% | 100% - 0% = 100 | 100 x 40% | 40 |
| £600 | 600-500/500 x100 = 20% | 100% - 20% = 80 | 80 x 40% | 32 |
| £700 | 700-500/500 x100 = 40% | 100% - 40% = 60 | 60 x 40% | 24 |
| £1000 | 1000-500/500 x100 = 100% | 100% - 100% = 0 | 0 x 40% | 0 |

1. Bidders shall complete the Pricing Schedule below for their tender, the contents of which should fit their proposals and include all elements that make up the cost.
2. The total tendered Price must deliver, as a minimum, the ‘Mandatory’ requirements for this specification.
3. The price used for the assessment of the tender shall be the price including any Early Payment Scheme percentage as detailed in Supplier Agreement Early Payment Programme hereto.
4. All prices are to be shown excluding VAT.

**Payment Profile**

1. Bidders are required to specify a payment profile that shall show when payments will be due in accordance with the Council’s payment terms (Clause 16 of the Draft Agreement). Bidders should use the table template below to specify the milestone payments that will be applied in accordance with the Bidder’s proposed implementation plan.

| **Milestone Number** | **Milestone Description** | **Testable Milestone (YES/NO)** | **(£)**  **Amount of Charge** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
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**Service Credits**

1. Tenderers are required to include details of the service credits that will be payable for failure to meet agreed operating service levels specified in their proposed Service Level Agreement (SLA).

**Allerdale Borough Council Internal Costs**

1. Where the solution and the service require Council resources (e.g. provision of infrastructure, training facilities, communications, Council ICT staff etc.,) Bidders are required to provide the necessary detailed information to enable the Council to calculate its own internal costs in supporting the proposed solution and service over the duration of the contract.
2. Tenderers should use the table template below to specify the Council personnel resources that shall be required for the proposed solution:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Role** | **Capabilities** | **Level** | **Days Required Per Key Stage** | | | **Total Days** |
| **Senior or**  **Junior** | **Implementation** | **Operations (Business-as-Usual)** | **Exit** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
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**Pricing Assumptions**

1. Bidders should provide details of any pricing assumptions made and additional information to support their pricing calculations.

**Development**

1. Bidders are required to provide a summary statement listing all the developments (planned and bespoke) included in the tender response. Details should include a description of the development, planned delivery date, one-off and on-going costs, and confirmation that the development is included in the tendered price or is an additional future cost.

**Annual Maintenance and Support Services**

1. Bidders are required to provide details of the annual maintenance and support services (e.g. service desk, account management, version upgrades etc.,) stating what it is included in the annual charges and what would be an additional cost.

**Software Details and Licensing Terms**

1. Bidders are required to provide details of the software licences, including product usage rights and unit costs of licences for the proposed solution and contract. Where appropriate Bidders should include copies of any software licensing agreement(s) in their tender submission.

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| **Provider Software** | | | | | | |
| **Software** | **Licence Type** | **Vendor** | **Purpose** | **Number of Licences** | **Restrictions** | **Unit Cost(£)** |
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| **Third Party Software** | | | | | | |
| **Software** | **Licence Type** | **Vendor** | **Purpose** | **Number of Licences** | **Restrictions** | **Unit Cost(£)** |
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| **Specially Written Software** | | | | | | |
| **Software** | **Licence Type** | **Vendor** | **Purpose** | **Number of Licences** | **Restrictions** | **Unit Cost(£)** |
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| **PRICING SCHEDULE** | | | | | | | | | | | |
| **Cost Components**  **Bidders are required to provide:**   1. Total Tendered Price for mandatory components. 2. Total Tendered Price for mandatory components plus any optional components. 3. Itemised line by line stating unit rates and quantities. | | **Unit Cost** | **Quantity** | **Set Up Cost**  **(One-Off Charge)** | **Annual Costs (Recurring Charges)** | | | | | **Mandatory** | **Optional** |
| **3 Year Contract Term** | | | **Extension Term** | |
| **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Year 5** |
| **A** | **Software Licence Costs** | | | | | | | | | | |
|  |  | **£** | **£** | **£** | **£** | **£** | **£** | **£** | **£** |  |  |
| **B** | **Hardware Costs** | | | | | | | | | | |
|  |  | **£** | **£** | **£** | **£** | **£** | **£** | **£** | **£** |  |  |
| **C** | **Annual Maintenance and Support Costs** | | | | | | | | | | |
|  |  | **£** | **£** | **£** | **£** | **£** | **£** | **£** | **£** |  |  |
| **D** | **Upgrade Costs** | | | | | | | | | | |
|  |  | **£** | **£** | **£** | **£** | **£** | **£** | **£** | **£** |  |  |
| **E** | **Implementation and Installation Costs** | | | | | | | | | | |
|  |  | **£** | **£** | **£** | **£** | **£** | **£** | **£** | **£** |  |  |
| **F** | **Integration and Interfacing Costs** | | | | | | | | | | |
|  |  | **£** | **£** | **£** | **£** | **£** | **£** | **£** | **£** |  |  |
| **G** | **Professional Services Costs** | | | | | | | | | | |
|  |  | **£** |  | **£** | **£** | **£** | **£** | **£** | **£** |  |  |
| **H** | **Other Costs (please state)** | | | | | | | | | | |
|  |  | **£** |  | **£** | **£** | **£** | **£** | **£** | **£** |  |  |
|  | | | | | | | | | | | |
| **Subtotals:** | | | | **£** | **£** | **£** | **£** | **£** | **£** |  | |
|  | | | | | | | | | | | |
| **Total Tendered Price (Mandatory) 3 Year Contract Term:** | | | | | | | | | **£** | | |
| **Total Tendered Price (Mandatory + Optional) 3 Year Contract Term:** | | | | | | | | | **£** | | |

1. The Total Tendered Price (Mandatory) must deliver, as a minimum, the ‘Mandatory’ requirements for this specification.

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| **PROFESSIONAL AND TECHNICAL SERVICES** | | | | | | | |  |  |  |  |  |
| Bidders are required to provide details of daily rates, fees and charges (inclusive of expenses) for future additional and ad-hoc professional and technical services over and above the specification, for the duration of the contract e.g. bespoke system integration work, post-implementation user training, consultancy etc.  Day rates shall be based upon a standard working day of 8 hours which shall be calculated exclusive of any breaks.  Half Day rates shall be based upon a half a standard working day of 4 hours.  Day rates shall be inclusive of travel and subsistence expenses (e.g. mileage, hotel, food, travel time). | | | | | | | | | | | | |
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|  |  | |  |  | **ON-SITE RATES (£)** | | | |  | **OFF-SITE RATES (£)** | | |
| **Capabilities** | **Role** | | **Level** |  | **Day Rate** | **Half Day Rate** | **Hour Rate** | |  | **Day Rate** | **Half Day Rate** | **Hour Rate** |
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| **Continuous Commitment Duration** | | **Discount Percentage (%)** |  |  |  |  |  | |  |  |  |  |
| Up to 5 Working Days | |  |  |  |  |  |  | |  |  |  |  |
| Over 5 Working Days and up to 10 Working Days | |  |  |  |  |  |  | |  |  |  |  |
| Over 10 Working Days | |  |  |  |  |  |  | |  |  |  |  |

**SCHEDULE 2: EMS DATA MODEL**

1. The information within this document defines the Council’s data requirements for the EMS.

**Register Street Data**

The EMS shall accommodate the following Register Street data:

* ward Indicator
* Polling District Indicator
* unique reference number
* street name
* deletion indicator
* locality
* town/City
* separate electoral Register street index

**Register Property Data**

The EMS shall accommodate the following Register Property data:

* ward indicator
* Polling district indicator
* unique reference number
* postal address
* BS7666 address
* NLPG Reference Number (National address reference)
* postcode
* UPRN - Unique Property Reference Number held on system in order to link to other Property Systems
* Classification – i.e. HMO, student, foreign national, commercial
* Canvass Form status (not returned, reminder sent, form returned, etc.)
* Canvass Form status history
* date Canvass Form returned and return history
* date property added to Register
* date property last updated
* Reminder Canvass Form: date sent
* ID of last updater
* deleted property indicator and date of deletion
* document history
* property barcode
* Notes

**Register Elector Data**

The EMS shall accommodate the following Register Elector data:

* Elector number
* Property reference
* ward Indicator
* polling district Indicator
* name – Surname (separate field)
* name – Forename (separate field)
* name – Middle Name (separate field)
* title
* Suffix (i.e. Jnr/Snr)
* proposed forename
* proposed middle name
* proposed surname
* date of birth
* National Insurance No.
* preferred method of contact (Mail/Telephone/E-Mail/SMS Text)
* contact telephone
* contact e-mail
* contact SMS text
* single occupier flag
* nationality
* IER information fields – application return method, receipt date, RAG status, IER verification information
* audit – created, changed, deleted etc.
* date added
* date of elector details last updated
* deleted indicator
* barcodes on postal and proxy applications
* date deleted
* edited Register indicator
* postal vote indicator
* postal vote address if different from qualifying address
* postal expiry date
* reminder indicator for postal expiry
* indicator for temporary Postal vote
* alternate address for special categories e.g. overseas electors
* proxy name and proxy address
* qualifications and flags - Service voter flag – S
* service voter details
* qualifications and flags - EU citizen – G, K
* qualifications and flags – Overseas elector – F and E
* qualifications and flags - Peer – L and E
* qualifications and flags - Crown employee -C
* qualifications and flags –Voluntary patient -V
* qualifications and flags - Edited Register Flag -Z
* qualifications and flags – Attainers - Y
* qualifications and flags – Over 70’s X
* qualifications and flags – Anonymous N
* qualifications and flags – Homeless Q
* no poll card required flag
* new Elector indicator
* additional notes field
* image of scanned documents
* number of non-responder years
* Postal Vote Marker for duplication

**Register Staff Data**

The EMS shall accommodate the following Register Staff data:

* Unique reference number
* Name – forename, surname and middle initials
* payroll number
* internal/external
* address
* job type (multiple options and more than one per person)
* area covered (polling districts/canvass area)
* NLPG Reference Number (National address reference)
* day time phone number
* evening phone number
* e-mail address
* mobile phone number
* number of items delivered
* payment per item (including gross, tax and net figures)
* tax indicator (both bands)
* car mileage (fixed pence per mile and total)
* browse on staff by name (surname, forename and initials)
* browse on staff by job (including multiple job types)
* National Insurance No.
* bank details
* proof of ability to work in UK
* car details including insurance
* job history
* performance history
* record responses to availability letters, appointments and acceptances

**Control Information Data**

The EMS shall accommodate the following Control Information data:

* rates of pay per job type
* password control information – access levels defined by system administrator
* electoral registration officer details
* date of current published Register

**Fixed Data Items**

The EMS shall accommodate the following Fixed Data items:

* calendar details – Bank Holidays, non-working days and year
* bank details – address, contact, sort code
* department details – Head of Department and department number
* centre details – contacts, payment details, charge, centre reference
* political party code and name
* ward/constituency details - Name
* ward/constituency details - Type (Local, Parish, European, Parliamentary)
* ward/constituency details - Boundary covered
* ward/constituency details - Current / history
* ward/constituency details -Maximum number of scrutinizers/verifiers allowed
* ward/constituency details - Pickup / delivery details
* ward/constituency details - Count centre allocated
* ward/constituency details - Number of vacancies
* ward/constituency details - Cross reference between Parish/Ward/Parliamentary constituency, European constituency
* ward/constituency details - Record of previous and current elected seat holders – Name,
* Seat, Dates of holding seat, Party, Majority, Re-elected Indicator

**Polling Stations and Booking Data**

The EMS shall accommodate the following Polling Stations and Booking data:

* unique reference within ward
* reference to Ward/ Parliamentary/European/Parish seats
* name
* address including postcode
* indicator for buildings used by more one than station – link to other stations
* indicator for local authority owned building
* Polling District Reference Numbers allocated to station (may be more than one)
* how many polling districts can be allocated to one station?
* total electorate per Polling District Reference
* overall electorate per station
* additional information text
* situation and access details
* Election reference for bookings
* booking status information (letter sent, reminder, confirmed, cancelled)
* hire costs
* cheque payment details
* caretaker details including phone number
* booking contact name
* booking contact address
* booking contact e-mail
* booking contact telephone
* Election results for turnout
* number of ballots issued
* number of ballots in box
* station name and address recorded for historic results
* postal votes recorded per seat contested
* vendor number

**General and Seat Data**

The EMS shall accommodate the following General and Seat data:

* reference of seat contested
* number of vacancies
* Electorates for Constituency, Ward
* centre for count, verification, pickup delivery
* polling hours
* name of returning officer
* percentage of ballot papers to be printed Ordinary/Tendered
* statutory dates for election timetable

**Nomination Data**

The EMS shall accommodate the following Nomination data:

* signatory name as it appears on the nomination paper
* signatory elector number
* indicator if signature external to Register
* indicator if signatory has signed more nominations than entitled to
* date and time nomination delivered

**Candidates Data**

The EMS shall accommodate the following Candidates data:

* name (forename, surname and middle initials)
* commonly used name
* Candidate address
* Election type
* Seat contested
* indicator if candidate is external to Register
* Candidate electoral registration number
* date nomination accepted as valid
* indicator if withdrawn
* reason for rejection
* Party
* Agent
* Party Emblem
* expenses
* deposits
* contact information including email address

**Agent Data**

The EMS shall accommodate the following Agent data:

* name / title
* Party
* Election type
* Agent address
* Office address
* phone number
* email address
* link to candidates/party represented

**Candidate Results Data**

The EMS shall accommodate the following Candidate Results data:

* Election type
* Seat contested
* Candidate name
* number of votes for candidate
* for each contested seat, number of invalid votes by category

**SCHEDULE 3: TECHNICAL ENVIRONMENT**

The information within this document defines the current technical infrastructure standards that apply to relevant information systems and information technologies within the Council’s networks.

Technical Infrastructure – Corporate Network

|  |  |
| --- | --- |
| Control | Standard |
| PC Operating System(s) | Windows 10 Enterprise (CBB/Semi-Annual Channel) Active Directory Group Policy  Users log on with Static Profile |
| Public Access PC Operating System | Windows 10 Enterprise (CCB/Semi-Annual Channel) Deepfreeze Enterprise |
| Server Operating System(s) | Microsoft Windows Server 2012 R2 |
| Data Storage | SAN Storage presented to VM’s as regular disk, iSCSI for physical presentation where required. |
| Database Management System(s) | Microsoft SQL Server 2012+  Commitment to Microsoft SQL Service Packs mandated |
| Network | Cisco Meraki stack Switched 1,000mbps Fast Ethernet  1000mbps to desktop  Wireless based on Ubiquity Wire Access Points  Private WAN based on LLU of BT-Exchanges and EoFTTC  Dual 1,000mbps Internet connection  (peer connections for failover/resilience) |
| Firewall | FortiGate 600D  FortiGate 60D |
| Server Virtualisation Platform(s) | VMware VSphere ESXi 6  New servers are built as VMs unless there is a specific requirement for physical. |
| Desktop Application Suite | Microsoft Office 2013 Professional Plus  Microsoft Office 2016 Professional Plus |
| Application Delivery Platform | Citrix XenApp |
| Application Platform(s) | Email – Microsoft Exchange On-Line EDM – Civica W2 LLPG – Idox Accolaid |
| Website Development | Django CMS – Hosted solution |
| Voice Systems | CTSP – BT One Phone Contact Centre – BT Next Generation Cloud Contact |
| Mobile Network Operators | BT One Phone |
| Remote Access Gateway | Citrix Access Gateway Enterprise Edition (SSL VPN)  Fortinet SSL VPN (IP-Sec VPN) |