

Commissioning Development & Procurement

Shirehall, Abbey Foregate
Shrewsbury, SY2 6ND



Tel: (01743) 252993

Fax: (01743) 255901

1st December 2016

Please ask for: [REDACTED]

Email: procurement@shropshire.gov.uk

Dear Bidder

RMCI 023 - PROVISION OF ERP SOLUTION (SYSTEM DELIVERY & SUPPORT)

TENDERED UNDER CCS FRAMEWORK RM1042 Lot 1

SHROPSHIRE COUNCIL

You have been invited to tender for the above requirement. With this letter please find enclosed a copy of the following documentation: -

- o Invitation to Tender including Instructions for tendering
- o Requirements Specification (Appendix 1)
- o Procurement Timetable (Appendix 2)
- o Generic User Requirements Specification for IT Systems to Manage FoI and EIR Enquiries

Tenders should be made using the enclosed Invitation to Tender including Appendix 1. Your Tender must be completed, signed and returned together with a signed copy of the 'Instructions for Tendering' through our Delta Tenderbox. You are recommended to keep a copy of all tender documents and supporting documents for your own records.

Returning of Tenders

The deadline for returning tenders is **NOON on 1st February 2017** any tenders received after this time will not be accepted. However, we would invite you to register your interest by the **10th December 2016**.

Tenders are to be submitted through Delta, our electronic tender portal.

- Please ensure that you allow yourself at least two hours when responding prior to the closing date and time, especially if you have been asked to upload documents. If you are uploading multiple documents, you will have to individually load one document at a time or you can opt to zip all documents in an application like WinZip. Failure to submit by the time and date or by the method requested will not be accepted.
- **Once you upload documentation ensure you follow through to stage three and click the 'response submit' button. Failure to do so, will mean the documents won't be viewable by the Council.**

personal info

Tenders must be made using Delta and **cannot** be accepted if:

- They are received by post, facsimilie or email
- They are received after **12 noon on the given deadline**

Freedom of Information

Under the provisions of the Freedom of Information Act 2000 from 1 January 2005, the public (included in this are private companies, journalists, etc.) have a general right of access to information held by public authorities. Information about your organisation, which Shropshire Council may receive from you may be subject to disclosure, in response to a request, unless one of the various statutory exemptions applies.

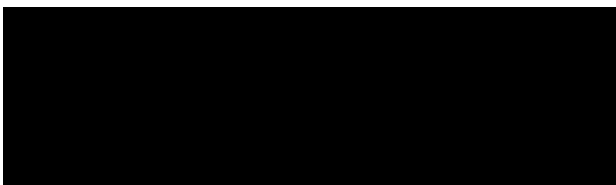
Therefore, if you provide any information to Shropshire Council in the expectation that it will be held in confidence, you must make it clear in your documentation as to the information to which you consider a duty of confidentiality applies. The use of blanket protective markings such as "commercial in confidence" will no longer be appropriate and a clear indication as to what material is to be considered confidential and why should be given.

Other Details

Please note that if supplementary questions are raised by any tenderer prior to the closing of tenders and Shropshire Council decides that the answers help to explain or clarify the information given in the Tender Documents, then both the questions and the answers will be circulated to all enterprises invited to submit a tender.

If you have any queries relating to this invitation to tender, please contact me through the Delta Portal.

Yours faithfully



Commissioning Development and Procurement Manager
Procurement & Contracts
Enc

personal info

Generic User Requirements Specification for IT Systems to Manage Fol and EIR Enquiries

Department for Constitutional Affairs

Job Number	5026830
Doc Ref.	5026830/Spec/001
Date	8 April 2004
Version	4.0
Status	Issued
Author	
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Circulation	

SC Information Governance requirements (so far 20160811):

- export all or selected emails/documents and associated attachments in relation to specific or multiple cases as a single pdf document
- able to create/modify letters from templates
- able to create/modify emails from templates
- able to view activities/correspondence in a list view, showing sender/recipient, date and time, subject and if there is an attachment
- ability to bcc emails
- ability to send encrypted email
- file attachment sizes should match the attachments limits to the email system used, to avoid the issue where emails and/or attachments cannot be added to the case.

Flexible search across all open/closed case fields.

Export of all data fields to enable analysis/reporting outside of the system. Whilst we would expect the system to provide mainstream reporting, we don't want to be constrained by reports not being available/ waiting for development, etc.

Copy, cut and paste keystroke functions between Office apps and system (MS Dynamics does not do this).

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1 Executive Summary

PURPOSE

- 1.1 The purpose of this document is to provide public authorities with a generic user specification for a system (or systems) to manage Requests for Information (RFIs) under the Freedom of Information Act 2000 or Environmental Information Regulations and any subsequent appeals.
- 1.2 It cannot be seen as a full requirements specification, but it does lay out which aspects are **essential** and should form the baseline of what must be contained / delivered by such a system(s).
- 1.3 The document is not prescriptive about the way in which requirements should be delivered. This is because public authorities operate in different business environments with different IT strategies and architectures.
- 1.4 The requirements are divided into two main sections:
 - **Functional Requirements:** Statements that specify what the system(s) must be able to do.
 - **Non-Functional Requirements:** Covering the way in which the system(s) should behave in respect of the compliance to external requirements (e.g. interoperability, legislative requirements) and elements of “good practice”.

FUNCTIONAL REQUIREMENTS

- 1.5 The main functional categories associated with the system(s) include:
 - **Logging requests & appeals;** capture of information about applicants, RFIs and appeals;
 - **Workflow / process support;** assisting public authorities to follow their own processes for handling RFIs including assigning of requests, notification alerts, tracking and approval;
 - **Fees;** calculation and recording of fees associated with RFIs;
 - **Enquiries;** methods of locating RFIs and appeals that are held in the system and monitoring performance using a number of different views;
 - **Correspondence;** automatic generation of correspondence with the applicant at key stages in the handling process;
 - **Appeals;** assisting public authorities in managing each stage of the appeal process including internal reviews, appeals to the Information Commissioner and appeals to the Information Tribunal;
 - **Central Monitoring;** requirements for those public bodies covered by the central monitoring regime as specified by the Department for Constitutional Affairs;
 - **Reporting;** internal monitoring of performance using predefined reports, ad-hoc reports and the ability to export information;

- **Interfaces**; considerations in respect of possible interfaces with a public authority's own existing systems;
- **Online Access**; enabling applicants to make RFIs directly, track the progress of their requests, pay fees and view released information online;
- **Administration**; maintain access to the system, correspondence templates and business rules including those controlling data archiving.

NON-FUNCTIONAL REQUIREMENTS

1.6 The main non-functional categories associated with the system(s) include:

- **Security**;
- **Language support** (including the Welsh Language Act 1993);
- **Documentation / Online Help**;
- **Training**;
- **Usability**;
- **Compliance with Standards** (including e-GIF, e-GMS, GDSC & Disability Discrimination Act 1995);
- **Backup & Recovery**.

2 Introduction

PURPOSE OF THE DOCUMENT

- 2.1 The purpose of this document is to provide public authorities with a generic user specification for a system (or systems) to manage Requests for Information (RFIs) and any subsequent appeals, under the Freedom of Information Act 2000 (Fol) and the updated Environmental Information Regulations (EIR) that are both due to come fully into effect on 1st January 2005.
- 2.2 This document does not:
- Ensure that a public authority is fully compliant with the Act;
 - Define an interface between the management system and the public authorities own publication scheme;
 - Address system and implementation issues (as these will be specific to each public authority);
 - Cover the Freedom of Information (Scotland) Act 2002.
- 2.3 Initially, the most important thing a public authority needs to consider is where the management system should sit in relation to existing systems. Implementation of a new system is not necessarily required, as the requirements could be delivered by upgrading an existing system (e.g. a correspondence system). Consideration should also to be given to the need for development of any interfaces with other systems, some examples of which are shown below, grouped by functional requirement category:



Figure 1: Interface Categories

- 2.4 It is recognised that public authorities that intend to develop such a system(s) will be coming from very diverse positions reflecting the contexts in which they operate. As a result this document avoids being overly prescriptive about the way in which requirements should be delivered (i.e. whether they are handled by a single system or some kind of

interface to other systems or indeed delivered via manually-based processes); instead it concentrates on what the requirements are. While it is recognised that manual processes can be used to implement part or all of the specification, the specification does at times use the language of IT systems. However, it is hoped that it is apparent when this is the case how they can be translated into a manual system, for example, alerts when a deadline is near or exceeded could be a telephone call or manually produced email.

- 2.5 The generic user specification cannot be seen as a full requirements specification, but it does lay out which aspects are **essential** and should form the baseline of what must be contained / delivered by such a system(s).
- 2.6 Each public authority should consider their own specific business needs when establishing their own specification, which may result in requirements listed here as **highly desirable** being promoted to **essential** (or those being listed as **desirable** being promoted to **highly desirable**) and additional requirements being added to address specific policies or practices.
- 2.7 One such example is that some public authorities may want to extend the scope of a system they are developing/procuring to handle RFIs so that it includes Subject Access Requests under the Data Protection Act 1998 (DPA).
- 2.8 Where a public authority intends to use a system or systems to deliver the requirements, attention should be paid to the compliance with relevant government standards outlined in section 5 of this document, as these are **essential**.

OTHER USEFUL REFERENCE MATERIAL

- 2.9 The DCA's monitoring regime for central government departments may also assist public authorities:

Defining a Request for Monitoring Purposes & Proposed Criteria for Monitoring Access to Information in Central Government (Appendix E) – Department for Constitutional Affairs

Coverage of Monitoring of Access to Information in Central Government (Appendix F) – Department for Constitutional Affairs

- 2.10 The following sources also contain additional information that may assist the public authority:

Management of Freedom of Information Requests in Other Jurisdictions – (October 2003) Joyce Plotnikoff and Richard Woolfson (<http://www.dca.gov.uk/foi/impgroup/07-07c.pdf>)

Lord Chancellor's Code of Practice on the discharge of public authorities' functions under Part 1 of the Freedom of Information Act 2000, issued under Section 45 of the Act – November 2002

A Guide to the "Lifecycle" of Requests under Section 1 of the Freedom of Information Act 2000 – Information Commissioner
(<http://ico-cms.amaze.co.uk/DocumentUploads/Lifecycle%20of%20Requests.pdf>)

Office of the e-Envoy - <http://www.e-envoy.gov.uk/Home/Homepage/fs/en>

Government Category List - <http://www.govtalk.gov.uk/schemasstandards/gcl.asp>

e-Government Interoperability Framework - <http://www.govtalk.gov.uk/schemasstandards/egif.asp>

e-Government Metadata Standard - <http://www.govtalk.gov.uk/schemasstandards/metadata.asp>

UK Government Data Standards Catalogue -
<http://www.govtalk.gov.uk/gdsc/html/frames/default.htm>

STRUCTURE OF THE REQUIREMENTS

2.11 This document is divided up into two main sections:

- **Functional Requirements:** Effectively these are a series of statements about what the system must be able to do. In this document, these requirements have been divided up into the following categories:
 - *Logging applicants*
 - *Logging requests*
 - *Logging appeals*
 - *Audit trail*
 - *Contact history*
 - *Workflow/process support*
 - *Fees*
 - *Enquiries*
 - *Correspondence*
 - *Reporting (Central Monitoring)*
 - *Reporting (Internal)*
 - *Appeals Handling*
 - *Interfaces*
 - *Online access*
 - *Administration*
- **Non-Functional Requirements:** These define system properties and constraints; which can be at least as critical as functional requirements. Non-functional requirements cover the way in which a system should behave (e.g. performance, reliability), compliance with organisation requirements (e.g. process standards, implementation requirements) and compliance with external requirements (e.g. legislative requirements, Office of the e-Envoy's standards). As this document is intended to be generic, the requirements in this section tend to be concentrated on external requirements, although there are a number that could be categorised as "good practice".

PRIORITY OF REQUIREMENTS

2.12 Within in this document, all requirements are categorised under three priority levels:

- **ESSENTIAL (E):** This means that the requirement is crucial for all public authorities, if they are to adequately deliver commitments made on them by FoI and/or EIR.
- **HIGHLY DESIRABLE (HD):** This means that the requirement may prove extremely useful in assisting public authorities in delivering their commitments i.e. reducing the amount effort required by the organisation's staff by increasing the level of automation.
- **DESIRABLE (D):** This means the requirement could prove useful in processing FoI and/or EIR requests, but it is far more likely to only be of use to a subset of public authorities.

- 2.13 The priorities assigned in this document have been determined for a generic public authority and may need to be tailored for specific organisational needs e.g. a requirement that is categorised as high desirable here, is essential in a particular context.
- 2.14 Recognising the different environments that public authorities operate in, this document does not attempt to impose a specific single system that should be capable of delivering these requirements, as they could be achieved satisfactorily using a number of IT systems and manual processes working in conjunction with one another.

ABBREVIATIONS

<i>Abbreviation</i>	<i>Description</i>
DPA	Data Protection Act 1998.
EIR	Environmental Information Regulations under the Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environment Matters signed at Aarhus on 25 th June 1998.
FoI	Freedom of Information Act 2000.
RFI	Request for Information – collective term that relates to any requests made under Freedom of Information or Environmental Information Regulations.

3 A Request for Information

- 3.1 One of the key elements in the process of managing requests for information will be to determine early on in the process whether requests should be entered on to the relevant system for managing requests. The definition of a request for information under the Freedom of Information Act and the Environmental Information Regulations is so broad that potentially most of what a public authority does could come under these access regimes. This section sets out some of the factors that public authorities should take into consideration when considering what their criteria for putting requests on to their monitoring system should be.
- 3.2 The key factor will be to enter information onto a system requests when the Freedom of Information Act or Environmental Information Regulations are consciously engaged. In other words, when thought is given to complying with the Act, such as through searching for information, releasing actual documents, charging fees or not providing the information requested.
- 3.3 What may be excluded for a system managing RFIs:
- ***RFIs where the information is already reasonably accessible to the applicant by other means:*** It will be important to ensure that releasing information does not become difficult, time consuming or resource intensive. New requirements to enter data into a management system to deal with requests where information is already given out routinely or that is given out without a second thought could slow down or even act as a disincentive to openness. The types of information this could include are requests for published reports, information leaflets or information in the publication scheme. However, there may be appeals made that information in publication schemes isn't available or that a request has not been answered. It may be that public authorities already have systems for logging where information is routinely given out, for example to demonstrate that published leaflet and reports have been sent in response to requests.
 - ***Information that is released as part of a public authority's normal business process:*** Many public authorities will be providing information as part of their day to day business processes, for example job application forms, information on the way they work or information relating to case work. It is not intended that systems for managing requests replace existing business processes that are functioning adequately. It will be for public authorities to decide what their normal business process is.
 - ***Correspondence that is not a request for information.***
 - ***Requests that do not include a name and address for correspondence (or an email address).***
 - ***Requests that are not made in writing (in writing includes emails and web-based forms),*** although if the request is for environmental information, requests may be made in any form or context, including oral requests.

3.4 What may be included for a system managing RFIs:

- ***Requests which result in information being withheld under an exemption or exception from the right of access*** (either the FoI or the EIR).
- ***Requests which are not processed because the public authority estimates the cost of complying would exceed the appropriate limit*** (section 12 of the FoI Act).
- ***Requests which are not processed because the public authority considers the request to be vexatious or repeated.***
- ***Requests where a search is made for information sought and it is found that none is held.***
- ***Requests for information that related to information which is contained in a transferred public record*** and the procedures in section 15 of the FoI Act are followed.
- ***Where advice or assistance is offered to the applicant.***
- ***Where the public authority requires further information from the applicant in order to identify and locate the information requested.***

4 Functional Requirements

FUNCTIONAL OVERVIEW

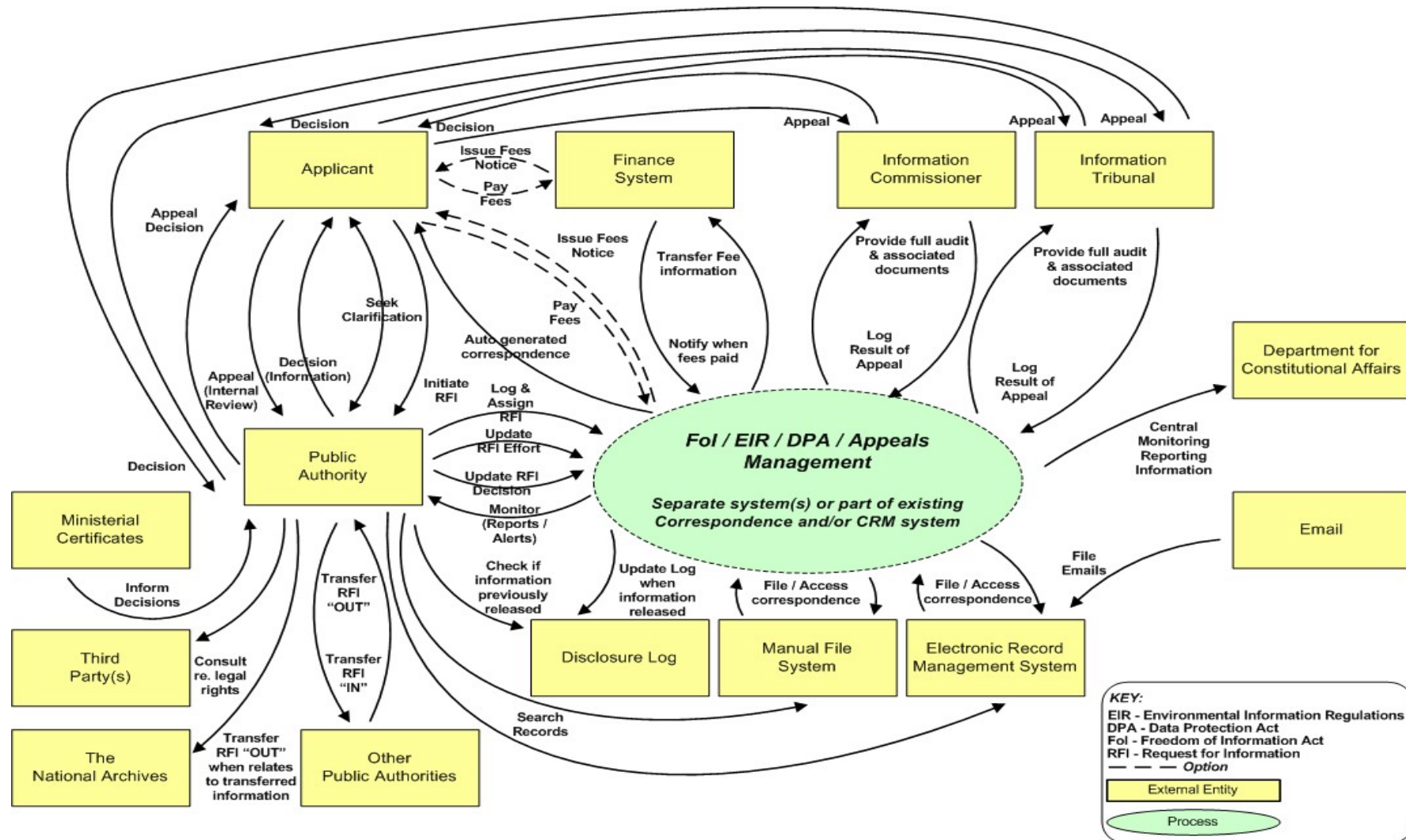


Figure 2: FoI / EIR / DPA Management System - Context

- 4.1 The purpose of the above diagram is to provide the reader with a pictorial view of the context in which a system(s) to manage RFIs operates, indicating the major external entities (people, organisations and systems) that it must operate with.
- 4.2 The diagram illustrates the main functional categories associated with the system, including:
- **Logging requests & appeals;** requirements associated with the capture of information about applicants, RFIs and appeals. This also includes the effective handling of the RFI including searching for requests by the same applicant, categorising the request against subject lists / taxonomy; searching the public authorities own disclosure log to determine if the information has already been released; and searching for similar requests.
 - **Workflow / Process Support;** requirements to assist the public authority in following its own processes for handling RFIs including assignment of requests, notification alerts, tracking and approval. This also includes the ability to cater for RFIs that have been sent to the public authority but they do not hold the required information; including the ability to accept RFI transfers from and create RFI transfers to other public authorities and the National Archives.
 - **Fees;** requirements associated with the calculation and recording of fees associated with RFIs.
 - **Enquiries;** requirements that enable the public authority to not only locate RFIs & appeals that are held in the system but to also monitor performance using a number of different views.
 - **Correspondence;** requirements to automatically generate correspondence with the applicant at key stages in the handling process.
 - **Appeals;** requirements to assist the public authority in managing each stage of the appeal process including internal review, appeals to the Information Commissioner and appeals to the Information Tribunal.
 - **Central Monitoring;** requirements for those central government departments covered by the central monitoring regime as specified by the Department for Constitutional Affairs.
 - **Reporting;** requirements associated with assisting the public authority in monitoring its own performance using predefined reports, ad-hoc reports and the ability to export information.
 - **Interfaces;** requirements that need to be considered by public authorities in respect of possible interfaces with existing systems.
 - **Online Access;** requirements to enable applicants to make RFIs directly to the public authority, track the progress of their request, pay fees and view released information online.
 - **Administration;** requirements to enable authorised users to maintain access to the system, update business rules, maintain correspondence templates. This category also includes requirements associated with archiving of data.
- 4.3 It must be reiterated that this specification is not prescriptive about a particular single system being used to deliver the functionality contained within this section, as the most appropriate solution will be entirely dependant upon the situation of each public authority.

DETAILED REQUIREMENTS

Logging Applicants

ID	Description	Priority
F-LA-01	The user shall be provided with a search facility to determine if the applicant already exists in the system. If the applicant already exists the user may need to update his or her details.	HD
F-LA-02	The system shall allow details of any new applicant making an RFI to be captured. (See Appendix A for recommendations on information that should be recorded)	E

Logging Requests

ID	Description	Priority
F-LR-01	The system shall allow the following types of requests to be logged: <ul style="list-style-type: none"> FoI EIR However, it shall not be required to distinguish between FoI and EIR requests unless an exemption is being applied, time limit being extended or fee being charged. (See Appendix B for recommendations on information that should be recorded)	E
F-LR-02	The system shall allow the following types of requests to be logged: <ul style="list-style-type: none"> DPA Public authorities may choose to process requests under the Data Protection Act using a separate system/process, to address any concerns about access to personal data. (See Appendix B for recommendations on information that should be recorded)	D
F-LR-03	The Unique Identifier for an RFI should be automatically generated (This cannot be changed by any user)	E
F-LR-04	The system shall provide the user with assistance in determining which regime the RFI falls under (i.e. FoI, EIR, DPA). This may be achieved via help text and/or user training.	D
F-LR-05	The Target Due Date shall automatically be calculated as follows: <ul style="list-style-type: none"> FoI: Date Received plus 20 Working Days * EIR: Date Received plus 20 Working Days * ** DPA: Date Received plus 39 Calendar Days * * To comply with the 20 days from receipt deadline specified in the FoI and EIR or the 40 days from receipt deadline specified in the DPA ** The deadline can be extended for complex EIR requests (refer to requirement L-PR-17)	E
F-LR-06	The system shall be able to derive the majority of the applicant's Address by using the Post Code (for UK-based applicants only)	D
F-LR-07	The user shall be provided with an automatic search facility to locate any RFIs made by the same applicant	HD

ID	Description	Priority
F-LR-08	The user shall be able to categorise the RFI (<i>RFI Subjects</i>), by making multiple selections from a predefined list of functions and subjects (and identifying the relevant section / action officers who the RFI should be allocated to)	HD
F-LR-09	The user shall be able to search the public authority's own disclosure log to check for information released in response to previous RFIs, which shall be categorised using a predefined list of subjects/taxonomy i.e. to check if the information is already in the public domain	HD
F-LR-10	The user shall be able to search the public authority's own Publication Scheme disclosure log to check if the information is already in the public domain	HD
F-LR-11	The user shall be able to search for any other RFIs (both open ones and completed ones) that relate to similar subjects as the one they are logging e.g. discover requests that the public authority has already responded to where the previous research and decision making can be made use of). It shall be possible for the user to formally "link" these related RFIs to the one they are creating/logging.	HD
F-LR-12	The user shall be able to search a log of information such as that identifying information covered by exemption or Ministerial Certificate. It shall be categorised using a predefined list of subjects/taxonomy and to discover cases where the authority has already dealt with such a case and previous research and decision making can be made use of.	D
F-LR-13	It shall be possible for a user to "part-create" an RFI and then able to return to it later to complete entering details. Only a full complete RFI can be allocated / assigned to an action officer / researcher.	D
F-LR-14	The system shall support the creation of "supplementary RFIs" that are produced as a result of the information released in a previous RFI. "supplementary RFIs" should be handled through workflow / the review process independently, but it should possible for a user to build up a "communication thread" with the applicant by relating RFIs where appropriate.	D

Logging Appeals

ID	Description	Priority
F-LP-01	The system shall allow the following types of appeal to be logged: <ul style="list-style-type: none"> Internal Reviews Information Commissioner Information Tribunal <i>Public authorities may choose to process appeals using a separate system/process i.e. to restrict access to a limited set of users (if this isn't supported by the FoI/EIR Management System).</i> <i>(See Appendix B for recommendations on information that should be recorded)</i>	E
F-LP-02	The Unique Identifier for an appeal should be automatically generated	E
F-LP-03	The system shall allow the user to record whether an appeal to the Information Tribunal was lodged by the applicant or by the public authority.	HD
F-LP-04	The system shall allow the user to record whether an appeal from the decision of the Information Tribunal was lodged by the applicant or by the public authority.	HD

ID	Description	Priority								
F-LP-05	<p>The user shall be able to relate an appeal to an existing RFI <u>or</u> to an appeal as follows:</p> <table><tr><td><u>Original Decision</u></td><td><u>Appeal Type</u></td></tr><tr><td>RFI</td><td>Internal Review</td></tr><tr><td>Internal Review</td><td>Information Commissioner</td></tr><tr><td>Information Commissioner</td><td>Information Tribunal</td></tr></table> <p>The system shall only allow one of each type of appeal to be created for an RFI.</p> <p>Authorised users shall be able to allow an Information Tribunal appeal to be related to an internal review.</p> <p>If applicable, it shall be possible to copy across information onto the appeal from the relevant RFI (to minimise re-keying).</p>	<u>Original Decision</u>	<u>Appeal Type</u>	RFI	Internal Review	Internal Review	Information Commissioner	Information Commissioner	Information Tribunal	E
<u>Original Decision</u>	<u>Appeal Type</u>									
RFI	Internal Review									
Internal Review	Information Commissioner									
Information Commissioner	Information Tribunal									
F-LP-06	<p>The system shall enforce the order in which the appeals process can take place for an RFI (i.e. Internal Review → Information Commissioner → Information Tribunal).</p> <p>Authorised users shall be able to override this sequence to allow internal review to be escalated straight to Information Tribunal, for example where Section 24 certificates are being applied.</p> <p>It will not be possible to create the next stage until the previous stage has been closed.</p>	E								
F-LP-07	<p>It shall be obvious to a user when viewing an RFI that an appeal (for all 3 types) is in progress / has been completed.</p>	E								
F-LP-08	<p>It shall be possible for a user to “part-create” an appeal and then able to return to it later to complete entering details.</p> <p>Only a fully complete RFI can be allocated / assigned to an action officer / researcher.</p>	D								

Audit Trail

ID	Description	Priority
F-AU-01	<p>The system shall automatically create an audit trail of all changes made to an RFI or appeal through the review process</p> <p>The audit trail should include details of:</p> <ul style="list-style-type: none"> What information was changed Who changed the RFI / appeal When the change occurred (Date & Time) <p><i>This could be achieved by keeping previous “versions” of the RFI / appeal each time it is changed.</i></p>	E
F-AU-02	<p>The system shall provide easy navigation for users to access the audit trail for the RFI or appeal they are viewing.</p> <p>It shall not be possible to change details held within the audit trail.</p>	E

Contact History

ID	Description	Priority
F-CH-01	<p>The system shall capture contact history information for all RFIs & appeals – these details cannot be changed retrospectively.</p> <p><i>This information could alternatively be recorded in an external system, such as correspondence management system or an electronic records management system although this would require some form of interface (either electronically linked or via a manual reference)</i></p> <p><i>(See Appendix D for details of information that needs to be recorded)</i></p>	E

Workflow / Process Support

- 4.4 One of the key aspects of a system to manage RFIs is its ability to support public authorities through the various stages of the process in order to respond to an applicant within the prescribed time limits.
- 4.5 The following diagram provides a simplified view of the stages in the process for handling an RFI. It should not be seen as authoritative both in terms of all the decision steps required and any specifics that will relate to a particular public authority (e.g. the way in which RFIs are allocated to action officers / researchers).
- 4.6 However, the diagram does highlight key aspects such as the points in the process at which the 20 working day timer starts, is suspended, resumes and stops. This section covers those functions that are either essential or should at least be considered to aid this process.

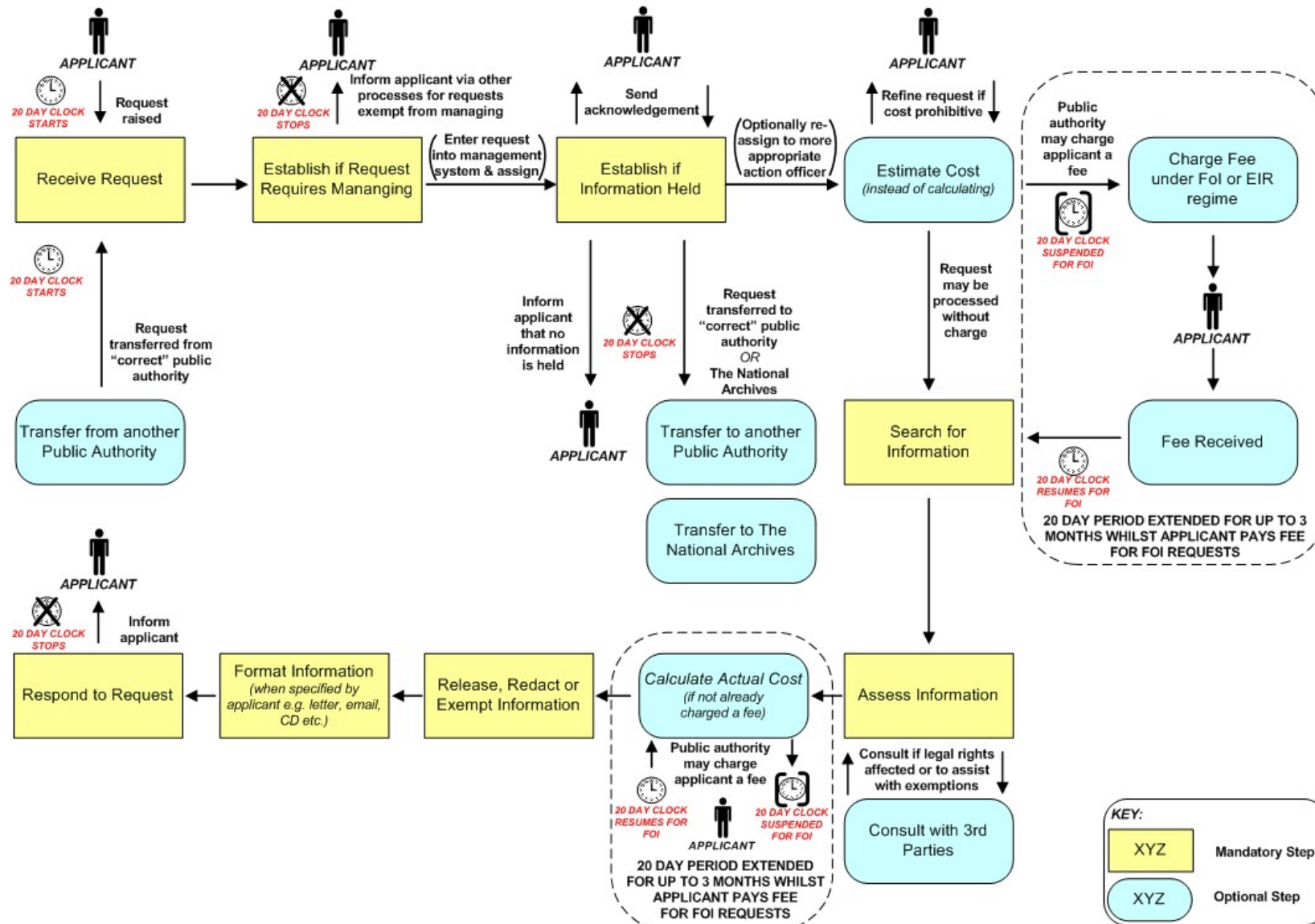


Figure 3: FoI/EIR Requests for Information - Simplified Process

ID	Description	Priority
F-PR-01	<p>The system shall support the transfer of an RFI to another public authority, where the information covered by the RFI is not held. This shall include:</p> <ul style="list-style-type: none"> Approval by the applicant Provision of information to the public authority (<i>only if approved by applicant</i>) Closure of the RFI <p><i>(This could either be achieved by production of a hardcopy report or electronic file in a standardised format, to provide the necessary information to the correct public authority). This shall be recorded in the audit trail.</i></p> <p><i>The public authority is not obliged to transfer an RFI, although they must inform the applicant that is the responsibility of another department.</i></p>	HD
F-PR-02	<p>The system shall support the transfer of an RFI to The National Archives where the information covered by the RFI has been transferred. This shall include:</p> <ul style="list-style-type: none"> Provision of information to The National Archives Closure of the RFI <p><i>(This could either be achieved by production of a hardcopy report or electronic file in a standardised format, to provide the necessary information to the correct public authority).</i></p> <p><i>This shall be recorded in the audit trail</i></p>	D
F-PR-03	<p>The system shall allow authorised staff to re-allocate RFIs to an action officer / researcher</p> <p><i>It is recommended that a supporting process is put in place to prevent an RFI being repeatedly re-allocated i.e. a courtesy call to the proposed individual prior to re-allocation. This shall be recorded in the audit trail</i></p>	E
F-PR-04	<p>The system shall allow an action officer / researcher to reject an RFI. The rejected RFI should nominally be allocated to either a system administrator or central team for it to be formally re-allocated.</p> <p><i>This shall be recorded in the audit trail</i></p>	HD
F-PR-05	<p>It will be possible to create a “hybrid-request” from a single RFI i.e. one that is made up of elements covered by the FoI, EIR and/or DPA</p> <p>Each element of the “hybrid-request” can have a separate workflow to enable different action officers/researchers to process them independently.</p> <p>However it shall be possible to enquire on the different elements as a single RFI i.e. if the applicant contacted the public authority to determine the state of progress.</p> <p>It shall not be required to distinguish between FoI and EIR requests unless an exemption is being applied, time limit being extended or fee being charged.</p>	E
F-PR-06	<p>The system shall automatically set the acknowledgement sent date when an acknowledgement correspondence has been sent to the applicant.</p> <p><i>This shall be recorded in the audit trail</i></p>	D
F-PR-07	<p>The relevant action officer / researcher should be notified when an RFI has been allocated to them.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there are no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email or through a workflow support of the process</i></p>	HD

ID	Description	Priority
F-PR-08	<p>The system shall be able to log when the authority has notified the applicant that it reasonably requires further information in order to identify and locate the information requested.</p> <p>The clock shall stop until the applicant has provided this information (<i>See also F-PR-17</i>)</p>	HD
F-PR-09	<p>The system shall automatically set the date when advice and assistance on the RFI has been sought from the applicant.</p> <p><i>This shall be recorded in the audit trail</i></p>	D
F-PR-10	<p>The system shall allow the action officer / researcher to record an estimate of the effort (i.e. works associated) in creating a response to the RFI.</p> <p><i>Estimated Effort may be used to automatically calculate fees – see below.</i></p>	HD
F-PR-11	<p>The relevant action officer / researcher should be notified when the applicant has paid outstanding fees i.e. they can proceed with processing the RFI</p> <p><i>Public authorities may wish to notify more than one individual to ensure there a no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email, workflow support of the process or manual processes.</i></p>	D
F-PR-12	<p>The relevant action officer / researcher should be notified when the applicant has failed to respond to a request to supply further information for the public authority to identify and locate the information requested, over an agreed time period (the exact duration would be determined by business rules).</p> <p>The action officer / researcher can then chose to either contact the applicant again or close the RFI.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there a no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email, workflow support of the process or manual processes.</i></p>	D
F-PR-13	<p>The relevant action officer / researcher should be notified when the applicant has failed to respond to a fees notice for over an agreed time period (The FoI Act stipulates 3 months and this could be applied as a business rule).</p> <p>The action officer / researcher can then chose to either contact the applicant again or close the RFI.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there a no bottlenecks due to holidays / sickness. This could be achieved either via email, workflow support of the process or manual processes.</i></p>	D
F-PR-14	<p>The system shall support an escalation path of notification alerts as an RFI nears / reaches / exceeds target dates – this might include:</p> <ul style="list-style-type: none"> (1) Action officer / researcher (2) Department / line manager of action officer / researcher (3) Central correspondence/coordinating unit <p><i>This could be achieved either via email, workflow support of the process or manual processes</i></p>	HD

ID	Description	Priority
F-PR-15	The system shall provide a calendar-based timer (based on working days for Fol / EIR RFIs and calendar days for DPA RFIs)	HD
F-PR-16	<p>The system shall start, suspend, restart and stop the calendar-based timer on business rules that include:</p> <ul style="list-style-type: none"> Suspend time when fees notice sent to the applicant (Fol only) Restart timer when outstanding fees are paid by applicant (Fol only) <p>Where the calendar-based timer is restarted, the target due date should be automatically recalculated. (See also F-PR-08)</p> <p><i>This shall be recorded in the audit trail</i></p>	E
F-PR-17	<p>The system shall support an extension of the target due date for Fol requests to cater for complex consideration of the public interest in respect of the disclosure of the requested information.</p> <p>This will result in correspondence being produced to inform the applicant of the revised estimated target date.</p> <p><i>This shall be recorded in the audit trail</i></p>	HD
F-PR-18	<p>If the EIR is deemed to be sufficiently complex, the target due date shall be extended to 40 Working Days</p> <p><i>This shall be recorded in the audit trail</i></p>	HD
F-PR-19	<p>The system shall either automatically produce or prompt users to produce correspondence with applicants where the deadline for an RFI has been exceeded. The triggers for these will be controlled via business rules.</p> <p><i>The public authority may consider that the production of these "ongoing communications" with the applicant may be iterative.</i></p>	HD
F-PR-20	The system shall validate the status of an RFI i.e. using business rules to enforce the agreed sequence of events	E
F-PR-21	<p>The system shall validate the approval to proceed to the next stage in the process, based on the user's permissions (which are derived from the user roles / groups they belong to).</p> <p><i>The system shall use the audit trail to record the progress of the RFI through the process.</i></p>	E
F-PR-22	<p>The system shall provide a list of exemptions that could apply to an RFI (i.e. for Fol or EIR), to assist the action officer / researcher.</p> <p><i>The system shall also enable users to link to the decision note correspondence issued to the applicant which will include details of how the public interest test was applied (where relevant).</i></p>	HD
F-PR-23	<p>The system shall allow users to record any exemption(s) that apply to an RFI</p> <p><i>Public authorities may wish to also record why particular exemption(s) apply to the RFI, for audit purposes.</i></p>	E
F-PR-24	<p>The system shall also allow users to record against each section that is removed from the document:</p> <ul style="list-style-type: none"> Which exemption applies and Why the exemption applies. <p><i>Public authorities may wish to use 3rd party systems to support redaction or alternatively use manual processes.</i></p>	HD

ID	Description	Priority
F-PR-25	Where a Ministerial Certificate has been issued under section 23(2) or section 24(3) in respect of a specific RFI, the system shall allow for this information to be recorded.	D
F-PR-26	Where a Ministerial Certificate has been issued under section 23(2) or section 24(3) in respect of a specific RFI and this is being judicially reviewed, the system shall allow the outcome of the judicial review to be recorded.	D
F-PR-27	The system shall allow the level of final signoff to be established for an RFI, and then enforce that the suitably authorised user has given final clearance. <i>Level of final signoff will be in line with the public authority's own policy / guidance on clearance for release of information.</i>	D
F-PR-28	When an RFI is being Closed, the system shall: <ul style="list-style-type: none"> ▪ Set the actual completion date ▪ Prompt the user to record <ul style="list-style-type: none"> • The actual (research/exemptions) effort expended • If the actual completion date exceeds the target completion date, the reason for not achieving the target • The outcome • Any exemptions that applied • The reason why each exemption was applied • Whether information was neither confirmed / nor denied • Whether a summary was made available • Whether the information was released or not 	D
F-PR-29	When an RFI is Closed, the system shall ensure that no further changes can be made to it	E
F-PR-30	The system shall support maintenance of the public authority's own disclosure log to record all items of information that have been released as a result of an FoI/EIR RFI. The disclosure log shall be categorised using a predefined list of subjects/taxonomy. <i>This may also be used to update the public authority's Publication Scheme.</i>	D

Fees

Whilst some public authorities have already formulated their policy in respect of fees for requests made under Fol & EIR, it should be noted that finalised regulations in this area are still being developed.

ID	Description	Priority
F-FE-01	<p>The system shall enable users to capture the prescribed costs associated with an Fol RFI.</p> <p><i>Public authorities may wish to automatically calculate prescribed costs based on pre-defined business rules. Under the current draft regulations the calculation would be derived as follows:</i></p> <p><i>((Estimated Effort – Free Research Effort) x Hourly Staff Rate) x % of Marginal Costs</i></p> <p><i>The calculation may be further enhanced to factor in a refined list of applicant categories e.g. so low-income groups are not charged at all or pay a reduced amount.</i></p> <p><i>If fees are not to be automatically calculated, the public authority should consider recording how the fee was arrived at, in case the applicant appeals e.g. by possibly adding another field against the request.</i></p> <p><i>It is understood that some public authorities are considering not charging fees at all.</i></p>	E
F-FE-02	<p>The system shall enable users to capture the non-commercial fees associated with an EIR RFI.</p> <p><i>Public authorities may also wish to automatically calculate non-commercial Fees based on pre-defined business rules. It is assumed that EIR commercial fees are <u>not</u> included in the scope of the system.</i></p>	E
F-FE-03	<p>The system shall enable users to capture disbursement costs associated with an Fol RFI.</p> <p><i>Public authorities may also wish to consider whether they want to:</i></p> <ul style="list-style-type: none"> <i>Hold separate cost categories (e.g. postage / photocopying / CDs etc.)</i> <i>Automatically calculate disbursement values <u>or</u></i> <i>Charge for disbursements at all</i> <p><i>If fees are not to be automatically calculated, the public authority should consider recording how the fee was arrived at, in case the applicant appeals e.g. by possibly adding another field against the request.</i></p>	E
F-FE-04	The system shall support fees associated with DPA Subject Access requests	D
F-FE-05	<p>The system shall enable users to decide on a case by case basis whether they will charge the applicant.</p> <p><i>This may represent the user overriding an automatically calculated fee rate with a lower value or no value.</i></p>	D
F-FE-06	<p>The system shall notify the user if the fees for an Fol RFI exceed a pre-defined fee limit.</p> <p>The user can override the warning, if the applicant is prepared to pay the full amount over the fee limit (currently £600) and/or the public authority is in agreement to process the request.</p>	HD
F-FE-07	The system shall automatically set the fee notice sent date when a fee notice has been sent to the applicant.	D

ID	Description	Priority
F-FE-08	The system shall automatically set the fee paid date when the amount is received from the applicant.	D
F-FE-09	<p>The system shall support an auditable process for the handling of fees paid by applicants.</p> <p><i>This requirement may be addressed by the public authorities finance system – through a manual / automatic interface.</i></p>	HD

Enquiries

ID	Description	Priority
F-EN-01	<p>The system shall enable users to search for applicants using multiple search criteria including:</p> <ul style="list-style-type: none"> ▪ applicant surname ▪ applicant first name ▪ applicant post code ▪ organisation name <p>The user will be able to select an applicant from the search results and view their details, and all their RFIs (and their associated contact history). Only authorised users will be able to make changes to the RFI.</p> <p>If the search finds more than one applicant that matches the criteria, then the system will enable the user to select from the list of applicants.</p> <p><i>Some public authorities may also wish to restrict what RFIs some system users can view (i.e. only those handled by their own organisational unit / department)</i></p>	HD
F-EN-02	<p>The system shall enable users to search for RFIs using multiple search criteria including:</p> <ul style="list-style-type: none"> ▪ unique identifier ▪ date received ▪ keyword function / subject / taxonomy ▪ organisational unit / department responsible for the function of subject ▪ action officer / researcher ▪ type (e.g. FoI, EIR, appeal) ▪ status (e.g. fees received, formatting etc.) ▪ outcome ▪ proximity to deadlines ▪ related RFIs (e.g. supplementary requests from the same applicant / requests from different applicants on the same subject / elements of a hybrid request). ▪ exemption / exception <p>The user will be able to select an RFI from the search results and view its details, contact history and associated applicant. It shall also be possible for the user to view related RFIs. Only authorised users will be able to make changes to the RFI.</p> <p><i>Some public authorities may also wish to restrict what RFIs some system users can view (i.e. only those handled by their own organisational unit / department)</i></p>	HD

ID	Description	Priority
F-EN-03	<p>Where a user has selected to view RFIs by organisational unit / department, the system shall enable the user to “drill down” the organisation’s hierarchy until it reaches action officer / researcher.</p> <p>This is to enable areas experiencing difficulty to be identified.</p>	D
F-EN-04	<p>The system shall enable users to sort the order of search results for RFIs based on:</p> <ul style="list-style-type: none"> ▪ date received ▪ keyword function / subject / taxonomy ▪ organisational unit / department responsible for the function or subject ▪ action officer / researcher ▪ type (e.g. Fol, EIR, appeal) ▪ status (e.g. fees received, format requester would prefer to receive information in etc.) ▪ outcome ▪ proximity to deadlines 	D
F-EN-05	<p>The system shall provide action officers / researchers with a view of the RFIs which are open and that have been allocated to them.</p> <p>RFIs should be ordered in decreasing proximity to deadlines.</p> <p>This view will act as a to do list, enabling the user to view & update the details for each RFI along with its contact history and associated applicant details.</p>	HD

Correspondence

ID	Description	Priority
F-CR-01	<p>The system shall automatically allocate a unique reference for all correspondence generated for the RFI</p> <p><i>The unique reference for the correspondence could be derived from unique identifier for the RFI, followed by a sequential number.</i></p>	HD
F-CR-02	<p>The system shall automatically populate the “header” information for all correspondence including:</p> <ul style="list-style-type: none"> ▪ Applicant name & address ▪ Correspondence unique reference ▪ Date 	HD
F-CR-03	<p>The system shall automatically produce “simple correspondence” to communicate with the applicant – this includes:</p> <ul style="list-style-type: none"> ▪ Acknowledgements ** ▪ Fees Notices * ▪ Request to Transfer RFI to another public authority ▪ Request has been transferred to The National Archives ▪ Extended Deadline (Public Interest consideration for FoI / Complex EIR) ▪ Don’t Hold Requested Information * ** ▪ Neither Confirm Nor Deny Holding Information * ▪ RFI Refused – Exceeds Fee Limit * <p>Automated correspondence may be via production of a letter (interface with word processing software) or via email (interface with email software) – this will be determined by how the applicant initiated the RFI.</p> <p>* Correspondence templates should include a statement informing them of their right to appeal and how to appeal.</p> <p>** Correspondence should include any advice to the applicant on any other public authorities that may hold information referred to in the RFI.</p> <p><i>The degree of automation of that can be applied to correspondence production will depend upon the solution adopted by the public authority and the amount of business benefit it delivers i.e. in reducing administration overheads where there are large volumes of RFIs to process.</i></p>	HD
F-CR-04	<p>The system shall automatically produce “complex correspondence” to communicate with the applicant – this includes:</p> <ul style="list-style-type: none"> ▪ All correspondence for “hybrid requests” ▪ Notify applicant that public authority reasonably requires further information to identify and locate the information requested ▪ Information Not Found (initially public authority believed it did hold) ** ▪ Request has exceeded deadline ▪ RFIs where Exemptions apply * ▪ RFI Refused – Vexatious Request * ▪ RFI Refused – Repeated Request * ▪ Information provided in relation to an RFI * ** 	D

ID	Description	Priority
	<p>* All correspondence templates should include a statement informing them of their right to appeal and how they should do so.</p> <p>** Correspondence should include any advice to the applicant that another public authority may hold information referred to in the RFI.</p>	
F-CR-05	<p>The system shall take account of the following, when producing and formatting correspondence:</p> <ul style="list-style-type: none"> ▪ Applicant's accessibility requirements (<i>see Appendix A</i>) ▪ RFI's required response format (<i>see Appendix B</i>) 	D

Reporting (Central Monitoring)

Central government has reported to Parliament on its performance in responding to requests for information made under the Code of Practice on Access to Government Information since its introduction. This will continue under the Freedom of Information Act, and the performance monitoring regime that government departments have agreed can be found in Appendix E.

Appendix F contains a list of organisations that are included in the coverage of monitoring of access to information in central government. It is recommended that even public authorities that are not included in this list should still assess the suitability of the central monitoring requirements in enabling them to measure their own RFI handling performance.

Reporting (Internal)

Whilst the requirements in this section are complementary to the central monitoring requirements referred to above, they should not be seen as exhaustive as public authorities are likely to have their own specific measures for reporting performance in respect of RFI handling.

All reports can be scheduled to be produced on a regular or requested on an ad-hoc basis (the latter requiring the user to enter a date range to report on) unless otherwise stated.

ID	Description	Priority
F-IR-01	The system shall provide periodic reports on the status of RFIs / appeals based on the organisational unit / department responsible – the report should include both open and completed RFIs.	HD
F-IR-02	The system shall provide periodic reports on the status of RFIs / appeals based on the keyword subject / taxonomy – the report should include both open and completed RFIs.	HD
F-IR-03	The system shall provide periodic reports on RFIs / appeals based on their status .	HD
F-IR-04	The system shall provide periodic reports on the status of RFIs / appeals based on the proximity to deadlines – the report should only include open RFIs.	HD
F-IR-05	The system shall provide periodic reports on the status of RFIs / appeals that compares estimated effort vs. actual effort – the report should only include completed RFIs.	HD
F-IR-06	The system shall provide periodic reports on the status of RFIs / appeals based on the format of RFI (e.g. Letter, Email, Phone etc.) – the report should include both open and completed RFIs.	D
F-IR-07	The system shall provide periodic reports on the status of RFIs / appeals based on the applicant country (i.e. to assess how many appeals are being received from overseas, as well as the UK.) – the report should include both open and completed RFIs.	D

ID	Description	Priority
F-IR-08	The system shall provide periodic reports on the amount of outstanding fees – the report should only include open RFIs. The report should include a total amount outstanding for all the transactions contained in the report.	HD
F-IR-09	The system shall provide periodic reports on the amount of paid fees received for a specific date or date range – the report should include both open and completed RFIs. The report should include a Total Amount Paid for all the transactions contained in the report.	HD
F-IR-10	The system shall provide periodic reports on RFIs / appeals based on the outcome (see Appendices B & C respectively) by organisation unit / department – the report should only include completed RFIs & appeals.	HD
F-IR-11	The system shall produce an audit report of changes made to RFIs / appeals : The report should include the following: <ul style="list-style-type: none"> ▪ Unique identifier ▪ What information was changed ▪ Who changed the RFI / appeal ▪ When the change occurred (Date & Time) <i>This report is only produced on an ad-hoc basis when requested by a user.</i>	HD
F-IR-12	The system shall produce an RFI appeal report that should provide the Information Commissioner and/or Information Tribunal with the information the public authority considers it should have available when assessing the appeal. <i>This report is only produced on an ad-hoc basis when requested by a user.</i>	HD
F-IR-13	The system shall produce “ temporally-based ” reports that allow results to be summarised at a user-defined interval (e.g. by year / quarterly / monthly / weekly) – to assist in establishing trends.	D
F-IR-14	The system shall enable reports (both “standard” and “user-defined”) to be scheduled to run at user-defined intervals.	D
F-IR-15	The system should provide authorised users with a facility to define, produce and save ad-hoc reports. It shall also be possible for users to: <ul style="list-style-type: none"> ▪ save ad-hoc reports ▪ copy ad-hoc reports (i.e. to base new reports on existing ones) 	E
F-IR-16	The system shall provide the facility to export reports (standard or ad-hoc) into standard formats, that may include: <ul style="list-style-type: none"> ▪ Microsoft Word ▪ Microsoft Excel ▪ Business Objects ▪ XML <i>A facility to export of RFI / appeal information may also be used to consolidate information when public authorities re-structure with the combination of organisational units from different sources.</i>	E

Appeals Handling

It should be noted that when the term “appeal” is used in this document, it refers to internal reviews, complaints to the Information Commissioner and appeals to the Information Tribunal (made by any permitted party).

ID	Description	Priority
F-AP-01	<p>The system shall notify the central team with overall responsibility for FoI & EIR, if a request for an appeal (Internal Review / Information Commissioner / Information Tribunal) has been logged against an RFI.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there are no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email, workflow support of the process or manual processes</i></p>	HD
F-AP-02	<p>The relevant action officer / researcher should be notified when an appeal has been allocated to them.</p> <p><i>Public authorities may wish to notify more than one individual to ensure there are no bottlenecks due to holidays / sickness.</i></p> <p><i>This could be achieved either via email or through a workflow support of the process</i></p>	HD
F-AP-03	<p>The system shall allow authorised staff to re-allocate appeals to an action officer.</p> <p><i>It is recommended that a supporting process is put in place to prevent an RFI being repeatedly re-allocated e.g. a courtesy call to the proposed individual prior to re-allocation. This shall be recorded in the audit trail.</i></p>	D
F-AP-04	<p>The system shall start and stop the calendar-based timer on business rules.</p> <p><i>This shall be recorded in the audit trail</i></p>	HD
F-AP-05	<p>The system shall support an escalation path of notification alerts as an appeal nears / reaches / exceeds target dates – this might include:</p> <ul style="list-style-type: none"> (1) Action officer / researcher (2) Department / line manager of action officer / researcher (3) Central correspondence/coordinating unit <p><i>This could be achieved either via email, workflow support of the process or manual processes</i></p>	HD
F-AP-06	<p>The system shall automatically set the acknowledgement sent date when an acknowledgement correspondence is sent to the applicant (for internal reviews)</p>	D
F-AP-07	<p>The system shall validate the status of an appeal i.e. using business rules to enforce the agreed sequence of events</p>	E
F-AP-08	<p>The system shall validate the approval to proceed to the next stage in the process, based on the user's permissions (which are derived from the user roles / groups they belong to)</p> <p><i>The system shall use the audit trail to record the progress of the appeal through the process.</i></p>	E
F-AP-09	<p>The system shall enable users to record details of the outcome of internal reviews</p>	E
F-AP-10	<p>The system shall enable users to record when information has been supplied to the Information Commissioner or Information Tribunal</p>	E

ID	Description	Priority
F-AP-11	The system shall enable users to record details of the decision made by the Information Commissioner	E
F-AP-12	The system shall enable users to record details of the decision made by the Information Tribunal	E
F-AP-13	When a decision has been reached on an appeal, the system shall: <ul style="list-style-type: none"> ▪ Prompt the user to record <ul style="list-style-type: none"> • The outcome (dependent upon the type of appeal) • Details of any steps required to comply with the decision (<i>if any</i>) • Decision to be complied by date (<i>if applicable</i>) 	HD
F-AP-14	The system shall notify the action officer/researcher as the date nears / exceeds the decision to be complied by date (frequency of alerts to be determined by business rules)	HD
F-AP-15	When an appeal is being Closed, the system shall: <ul style="list-style-type: none"> ▪ Set the actual completion date ▪ Prompt the user to record <ul style="list-style-type: none"> • If the actual completion date exceeds the target completion date, the reason for not achieving the target • Whether the information was released or not (updating the original RFI) 	D
F-AP-16	The system shall allow users to record whether a ministerial veto has been issued	HD
F-AP-16	The system shall allow users to record whether a ministerial veto has undergone judicial review	HD
F-AP-18	When an appeal is Closed, the system shall ensure that no further changes can be made to it.	E

Interfaces

The applicability and complexity of interfaces will vary considerably between public authorities, as it will be dependent upon the scope of the system that is implemented to manage RFIs and any 3rd party systems that need to be interfaced with.

The following table illustrates the likely types of interface that may be required for each category of the functional requirements:

Category	Possible Interfaces
Recording Requests & Appeals	<ul style="list-style-type: none"> ▪ Correspondence System(s) ▪ Customer Relationship Management ▪ Email ▪ Electronic Record Management ▪ Manual File System(s) ▪ Post Code databases
Decision Support	<ul style="list-style-type: none"> ▪ Knowledge Bases ▪ Disclosure Log
Tracking / Contact Logs	<ul style="list-style-type: none"> ▪ Correspondence Systems ▪ Customer Relationship Management ▪ Email
Fees	<ul style="list-style-type: none"> ▪ Finance System
Correspondence Production	<ul style="list-style-type: none"> ▪ Correspondence System(s) ▪ Word Processing ▪ Email ▪ Translation Facilities
Enquiries	<ul style="list-style-type: none"> ▪ Correspondence System(s) ▪ Customer Relationship Management ▪ Email ▪ Electronic Record Management ▪ Manual File Systems
Reporting	<ul style="list-style-type: none"> ▪ 3rd Party Reporting Tool
Delivery (Intranet / Internet)	<ul style="list-style-type: none"> ▪ User Interface / Frequently Asked Questions / Publication Scheme ▪ Content Management System

ID	Description	Priority
F-IF-01	<p>The system shall facilitate the logging of RFIs that have been received via email, by providing an interface with the public authorities email system.</p> <p><i>This may be as simple as establishing a central mailbox that can be processed by a central correspondence team (or equivalent), although RFIs received in any inbox will still be valid RFIs.</i></p>	HD
F-IF-02	<p>The system shall interface with the public authority's Intranet / Internet sites.</p> <p><i>The Internet interface would be used to deliver the requirements outlined in the online access section of this document.</i></p> <p><i>The Intranet interface would provide the user with straightforward access to the public authorities resources including:</i></p> <ul style="list-style-type: none"> ▪ Knowledge Bases (i.e. information sources) ▪ Disclosure Log ▪ Publication Scheme 	HD
F-IF-03	<p>The system shall provide a two-way interface with the public authority's finance system to enable:</p> <ul style="list-style-type: none"> ▪ The system to transfer fees information across to the finance system, so that the latter can raise fees notices (and track payments) and ▪ The finance system to inform the RFI system that payment of outstanding fees has been received from the applicant <p><i>This may be achieved by direct links between the two systems or a process that requires some manual intervention</i></p>	D
F-IF-04	<p>The system shall provide the user with straightforward access from the RFI to any associated:</p> <ul style="list-style-type: none"> ▪ Correspondence (Letters / Faxes) ▪ Emails <p><i>This should either be achieved via links directly into an electronic records management system and/or email system and/or holding file number(s) to locate information held on manual file system(s)</i></p>	HD
F-IF-05	<p>The system shall provide the user with straightforward access from the appeal to any associated:</p> <ul style="list-style-type: none"> ▪ Correspondence (Letters / Faxes) ▪ Emails <p><i>This should either be achieved via links directly into an electronic records management system and/or email system and/or holding file number(s) to locate information held on manual file system(s)</i></p>	HD
F-IF-06	<p>The system shall provide the user with straightforward access from the contact log for an RFI/appeal to any associated:</p> <ul style="list-style-type: none"> ▪ Correspondence (Letters / Faxes) ▪ Emails <p><i>This should either be achieved via links directly into an electronic records management system and/or email system and/or holding File Number(s) to locate information held on manual file system(s)</i></p>	HD

ID	Description	Priority
F-IF-07	<p>The system shall provide the user with straightforward access to the Contact Log for an RFI (if it is being managed by a 3rd party system)</p> <p><i>This should either be achieved via links directly into a customer relationship management system and/or correspondence system and/or holding file number(s) to locate information held on manual file system(s)</i></p>	HD
F-IF-08	<p>The system shall provide the user with a straightforward interface to the public authority's word processing software and/or email system to enable automated generation of correspondence and/or correspondence system to log details of the communication.</p>	HD
F-IF-09	<p>The system shall provide an interface to translation facilities to cater for:</p> <ul style="list-style-type: none"> • RFIs that are received in a language other than English • Correspondence that needs to be published in a language other than English <p><i>See Non-Functional Requirements.</i></p>	D
F-IF-10	<p>The system shall integrate with commercially available UK Post Code databases, to enable automatic population of applicants' addresses.</p> <p><i>It should also be straightforward to load upgrades to the Post Code database.</i></p>	D
F-IF-11	<p>The system should enable commercially available 3rd party report writing tools to run over the underlying database, to enable users to produce ad-hoc reports.</p>	HD

Online Access

ID	Description	Priority
F-OL-01	<p>The system shall allow an applicant to create an account online, in order to assist them with online access:</p> <ul style="list-style-type: none"> ▪ Secure access ▪ Record applicant details to repeat on all RFIs ▪ View status of all RFIs they have raised 	D
F-OL-02	<p>The system shall allow applicants to create RFIs online; these RFIs will be forwarded to a central point, for assigning them to the appropriate part of the organisation.</p> <p><i>This could be achieved via a web form on the public authority's organisation or via email.</i></p>	D
F-OL-03	<p>The system shall allow the applicant to track their RFI online through the review process.</p> <p><i>This could be via a simplified view of the public authority's review process – as per Figure 2 (see above)</i></p>	D
F-OL-04	<p>The system shall allow the applicant to receive notification (possibly via email) when key events occur. These could include:</p> <ul style="list-style-type: none"> ▪ Formal acknowledgement of receipt of RFI ▪ Applicant response to public authority notification that it reasonably requires further information to identify and locate the information requested ▪ Applicant response to request for advice & assistance ▪ Fee notice ▪ Decision on RFI 	D
F-OL-05	<p>The system shall allow the applicant to make online payments in respect of any fee notice raised in respect of their RFI.</p>	D
F-OL-06	<p>The system shall allow the applicant to view any information online that has been released in respect of their RFI.</p> <p><i>To improve the overall online process, consideration should be given to developing an "online guide" that walks potential applicants through the following steps:</i></p> <ol style="list-style-type: none"> <i>1. Check if information required is already available from the Publication Scheme, if not....</i> <i>2. Check if information required is already available from the public authorities own disclosure log, if not....</i> <i>3. Raise new RFI</i> 	D

Administration

ID	Description	Priority
F-AD-01	<p>The system shall provide user administration facilities to authorised users – including determining associated security permissions.</p> <p><i>Some public authorities may wish to consider using some method of devolved user administration to prevent bottlenecks / over-reliance on a central function.</i></p>	HD
F-AD-02	<p>The system shall enable authorised users to maintain fees business rules (Fol & EIR) to support automated calculation:</p> <ul style="list-style-type: none"> ▪ Maximum Fee Limit (i.e. maximum amount) ▪ Prescribed Costs (Marginal) <ul style="list-style-type: none"> • Free Research Effort (i.e. the number of hours not charged) • Hour Staff Rate (£) • Percentage of Marginal Costs (0% - 10%) ▪ Disbursements <ul style="list-style-type: none"> • Photocopying cost per page (£) • Postage Rates (£) • CD cost (£) ▪ Alert / Notification Time Periods (e.g. duration for no response to fee notice) ▪ Archiving / Deletion Retention Periods <p><i>Public authorities may wish to automatically calculate disbursement costs using unit costs by categories. Alternatively, they may just require a user to manually enter a value for each RFI, on a case by case basis. However it is likely that a record of how the fee was calculated will be needed to justify any fee.</i></p>	D
F-AD-03	<p>The system shall enable authorised users to maintain fees business rules (DPA) to support automated calculation.</p>	D
F-AD-04	<p>Authorised users shall be able to maintain the organisational structure within the system, in order to support assigning RFIs to the correct individuals/teams.</p> <p><i>This will be related to the public authority's file plans established for their Electronic Records Management System(s).</i></p> <p>The system shall also be able to cater for ongoing changes to organisational structure to ensure that RFIs are allocated to the correct individuals/teams.</p> <p><i>This would also be used to support the escalation of notification warnings when deadlines are nearing / have been exceeded</i></p>	HD
F-AD-05	<p>Authorised users shall be able to maintain a pre-defined list (or taxonomy) of function and subject keywords and the corresponding organisational units/division and/or action officers</p> <p><i>Public authorities may already have developed some form of standard "taxonomy" that they can adapt to this use e.g. file plans established for their Electronic Records Management System(s).</i></p>	HD
F-AD-06	<p>Authorised users shall be able to maintain valid values associated with the list fields outlined in appendices A, B and C.</p> <p><i>Some restrictions on maintenance may be necessary, where system processing is dependent upon specific values.</i></p>	D

ID	Description	Priority
F-AD-07	<p>Authorised users shall be able to update the workflow definition in the system to reflect changes in the business processes.</p> <p><i>Ideally this would be via some form of graphical user interface. Public authorities should consider how the system should handle changes in the workflow e.g. if a stage is removed from the workflow, they should define what happens to any RFIs or appeals that are currently at that stage.</i></p>	D
F-AD-08	<p>Authorised users shall be able to maintain a log of information that has been covered by exemption, Ministerial Certificate, commercial licensing / confidentiality agreement.</p> <p>This log shall be categorised by public authorities pre-defined list (or taxonomy) of function and subject keywords, as well as file references.</p>	D
F-AD-09	<p>Authorised users shall be able to maintain a system calendar for working days – as defined in FoI Section 10(6)</p> <p>Saturdays and Sundays should default to non-working days.</p> <p><i>It should be noted that civil service “Privilege Days” are not counted as Bank Holidays.</i></p>	HD
F-AD-10	<p>The system shall allow authorised users to update details of exemptions that apply to different RFI types.</p>	HD
F-AD-11	<p>Where the system includes automated correspondence production facilities, it shall provide authorised users with a straightforward facility to maintain templates for automatic correspondence.</p>	E
F-AD-12	<p>The system shall provide an automated archiving facility based on business rules to ensure that system performance is maintained and DPA obligations are met.</p> <p>A straightforward facility to “reinstate” archived records shall also be provided, should the need arise.</p> <p><i>Public authorities may wish to retain a rolling-period (e.g. 1 year) of RFIs on the system and archive the remainder. If the public authority wishes to retain the availability of RFIs for a longer period, the system could “strip-out” elements of RFI (mainly the applicant details) in line with their Data Protection policy. Maintaining information about previous requests and decisions might be particularly useful.</i></p> <p><i>In some cases a higher degree of manual intervention may be beneficial, allowing authorised users to review RFIs prior to archive in case they are still deemed to be of current interest and should be retained for the time-being.</i></p>	HD

5 Non – Functional Requirements

OVERVIEW

- 5.1 As stated previously, the nature of this document means that the requirements contained in this section concentrate on external requirements (such as interoperability, legislative requirements and general standards) and a number of “good practice” requirements (such as training and documentation).
- 5.2 Public authorities should consider their own processes, procedures and standards when extending these generic requirements to meet their own needs. The following is a non-exhaustive list of other areas that should be considered:
- System Availability
 - Normal “Hours of Service” (i.e. allowing for backups etc.)
 - Remote Access
 - Performance Requirements
 - Speed of Response
 - Anticipated volume of data
 - Number of users (now/future)
 - Maintenance & Support Arrangements
 - In-house standards for Database / Operating System / Programming Language etc.

DETAILED REQUIREMENTS

Security

ID	Description	Priority
N-SC-01	The system must require each user to enter a User ID & Password to gain access and allow an effective audit trail of how RFIs are processed to be maintained. <i>This may be achieved via a separate login or via the user's network login details.</i>	E
N-SC-02	The system must be capable of supporting different types of users, who have associated permissions within the system	E

Language

ID	Description	Priority
N-LG-01	<p>The system shall be compliant with requirements laid down in the Welsh Language Act 1993 i.e. full provision for support of the Welsh Language</p> <p>This shall include:</p> <ul style="list-style-type: none"> Acceptance of RFIs that have been submitted in Welsh The user interface of the system (<i>where applicable</i>) Production of correspondence for the applicant 	E
N-LG-02	<p>The system shall support receipt of RFIs in languages other than English i.e. to cater for public authorities "audience".</p> <p><i>In the case of automated correspondence, this may entail use of automated translation services – normal business processes for translation could be employed to address this requirement.</i></p>	D

Documentation / Online Help

ID	Description	Priority
N-DC-01	A System Administration manual shall be provided that covers all system administration functions of the system.	HD
N-DC-02	<p>An extensive online help facility shall be provided that covers all user functions, is indexed and fully searchable.</p> <p><i>Ideally the help facility should be context sensitive.</i></p>	HD

Training

ID	Description	Priority
N-TR-01	<p>Users will require training in how to use the system; training must be tailored to match the different roles of the users.</p> <p><i>Ongoing training is needed to cater for staff turnover and changes in role.</i></p>	HD

Usability

ID	Description	Priority
N-US-01	<p>The system shall provide a consistent user interface, menus and commands across all parts of the application to assist new users in getting "up to speed".</p> <p><i>This is particularly important where public authorities have areas of high-staff turnover.</i></p>	HD
N-US-02	The system shall produce meaningful error messages that give users a clear prompts as to how to take corrective action	HD

Compliance with Standards

ID	Description	Priority
N-ST-01	<p>The system shall comply with the Office of the e-Envoy's e-Government Interoperability Framework (e-GIF) standards.</p> <p>The key elements of e-GIF include:</p> <ul style="list-style-type: none"> ▪ universal adoption of common specifications used on the Internet and World Wide Web ▪ adoption of XML as the primary standard for data integration ▪ adoption of the browser as the key user interface ▪ addition of metadata to government information resources ▪ development and adoption of the e-GMS (e-Government Metadata Standard) based on the international Dublin Core model ▪ development and maintenance of the GCL (Government Category List) 	E
N-ST-02	<p>The system shall comply with the Office of the e-Envoy's e-Government Metadata Standard (e-GMS).</p> <p>e-GMS provides a common base standard for metadata, by defining a superset of metadata terms (elements, refinements and encoding schemes) used by the public sector for a wide range of information systems.</p> <p>Mandatory elements within e-GMS include:</p> <ul style="list-style-type: none"> ▪ Accessibility: Indicates the individual piece of information's availability & usability to specific groups. ▪ Coverage: The extent or scope of an individual piece of information (this could either on a temporal or spatial basis). ▪ Creator: The individual contributor responsible for adding the information to the system. ▪ Date: A date associated with an event in the lifecycle of a specific piece of information. ▪ Identifier: An unambiguous reference to a piece of information within a given context. ▪ Language: Used to specify the language associated with a specific piece of content. ▪ Publisher: An entity/organisation responsible for making the information available. ▪ Subject: The topic(s) that piece of information relates to (this is also related to the GCL – see above). ▪ Title: A name given to an individual piece of information. <p>It should be noted that some of the information types defined in Appendices A, B and C will address some of these metadata elements.</p>	E
N-ST-03	<p>The system shall comply with the UK Government Data Standards Catalogue (GDSC) that specifies standard format and validation rules for those information types indicated in Appendices A, B and C.</p>	E
N-ST-04	<p>The system shall comply with the National Archives' Requirements for Electronic Records Management Systems, 2: Metadata Standard.</p>	HD

ID	Description	Priority
N-ST-05	<p>The system shall have a user interface that provides accessibility for visually / physically impaired users, including requirements specified in the Disability Discrimination Act 1995.</p> <p><i>It should be noted that government websites are required to be universally accessible, by ensuring compliance with the World Wide Web Consortium's (W3C's) Web Accessibility Initiative (WAI). This policy is interpreted as meaning that all new or redesigned UK government websites should achieve a minimum A rating (all Priority 1 checkpoints are satisfied), which is the lowest level of WAI compliance.</i></p>	E
N-ST-06	<p>The system shall store all dates in a format compliant with ISO 8601</p> <p>Dates shall be formatted as YYYY-MM-DD where YYYY is the year in the usual Gregorian calendar, MM is the month of the year between 01 (January) and 12 (December), and DD is the day of the month between 01 and 31</p> <p>Time shall be formatted as hh:mm:ss where hh is the number of complete hours that have passed since midnight (00-24), mm is the number of complete minutes that have passed since the start of the hour (00-59), and ss is the number of complete seconds since the start of the minute (00-60)</p>	E
N-ST-07	If the system uses an underlying relational database, it must conform to the SQL standard ISO/IEC 9075.	E
N-ST-08	The system must conform to BS7799 Information Management Security.	E

Backup & Recovery

ID	Description	Priority
N-BR-01	The system shall provide back-up and recovery facilities for all data held within the underlying database.	E

Appendix A – Applicant Details

Information Type	Scope	Derivation	Priority
Applicant title [See requirement N-ST-03: GDSC - Data Element: Person Title]	FoI / EIR / DPA / appeals	Manual	HD
Applicant first name [See requirement N-ST-03: GDSC - Data Element: Person Given Name]	FoI / EIR / DPA / appeals	Manual	HD
Applicant initials [See requirement N-ST-03: GDSC - Data Element: Person Initials]	FoI / EIR / DPA / appeals	Manual	D
Applicant surname [See requirement N-ST-03: GDSC - Data Element: Person Family Name]	FoI / EIR / DPA / appeals	Manual	E
Applicant address * (Could be derived from Post Code for UK-based applicants) [See requirement N-ST-03: GDSC - Data Element: UK Postal Address]	FoI / EIR / DPA / appeals	Manual / Automatic	E
Applicant post code * [See requirement N-ST-03: GDSC - Data Element: Post Code]	FoI / EIR / DPA / appeals	Manual	E
Applicant country [See requirement N-ST-03: GDSC - Data Element: Country Code]	FoI / EIR / DPA / appeals	Manual	D
Organisation name (Could develop a central list of names to refer to /update, rather than free text) [See requirement N-ST-03: GDSC - Data Element: Organisation Name]	FoI / EIR / DPA / appeals	Manual	D
Applicant telephone number [See requirement N-ST-03: GDSC - Data Element: UK Telephone Number]	FoI / EIR / DPA / appeals	Manual	D
Applicant fax number [See requirement N-ST-03: GDSC - Data Element: UK Telephone Number]	FoI / EIR / DPA / appeals	Manual	D
Applicant email address * [See requirement N-ST-03: GDSC - Data Element: Internet e-Mail Address]	FoI / EIR / DPA / appeals	Manual	E

Information Type	Scope	Derivation	Priority
Applicant accessibility requirements <i>This would be complementary to the Required Response Format recorded against the RFI.</i> <i>(Used to record any specific accessibility requirements such as needing Braille or large-print versions of letters / documents)</i>	FoI / EIR / DPA / appeals	Manual	D

- * An address for correspondence required under the access regimes can either be a postal address (with post code) or an email address.

Appendix B – Request Information

Information Type	Scope	Derivation	Priority
Unique identifier	FoI / EIR / DPA	Automatic	E
Request type <i>Suggested values:</i> FoI EIR DPA Hybrid (of FoI / EIR / DPA) <i>Public authorities may choose to process requests under the Data Protection Act using a separate system/process, to address any concerns about access to sensitive personal data.</i>	FoI / EIR / DPA	Manual	E
Original text of RFI (or a link to where it is kept)	FoI / EIR / DPA	Manual	E
Abstract of RFI	FoI / EIR / DPA	Manual	D
RFI subject(s) <i>Based on a public authority's own Subject Keyword list / Taxonomy.</i>	FoI / EIR / DPA	Manual	D
Required response format <i>In terms of permanent form / applicant inspection / summary – as specified in section 11.</i>	FoI / EIR	Manual	E
Format of RFI <i>Suggested values:</i> Letter Email Fax Phone Web Form	FoI / EIR / DPA	Manual	D
RFI language <i>Suggested values:</i> English Welsh <i>(to be decided by public authority)</i>	FoI / EIR / DPA	Manual	E
Date sent by applicant <i>[See requirement N-ST-03: GDSC - Data Element: Date]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	FoI / EIR / DPA	Manual	E
Date received by public authority <i>[See requirement N-ST-03: GDSC - Data Element: Date]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	FoI / EIR / DPA	Manual	E

Information Type	Scope	Derivation	Priority
Date logged by public authority [See requirement N-ST-03: GDSC - Data Elements: Date & Time] [See requirement N-ST-05: ISO 8601]	FoI / EIR / DPA	Automatic	E
Target due date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	FoI / EIR / DPA	Automatic	E
Complex EIR – extend deadline flag <u>Suggested values:</u> Y N	EIR	Manual	E
FoI – public interest consideration – extend deadline flag <u>Suggested values:</u> Y N	FoI	Manual	E
Actual completion date [See requirement N-ST-03: GDSC - Data Elements: Date & Time] [See requirement N-ST-05: ISO 8601]	FoI / EIR / DPA	Manual	E
Transferred from public authority – organisation name	FoI / EIR / DPA	Manual	D
Transferred from public authority – RFI unique identifier	FoI / EIR / DPA	Manual	D
Transferred to public authority – organisation name	FoI / EIR / DPA	Manual	D
Transfer approval by applicant date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	FoI / EIR / DPA	Manual	D
Created by staff ID <i>Based on user login details</i>	FoI / EIR / DPA	Automatic	E
Created by staff division <i>Based on user login details</i>	FoI / EIR / DPA	Automatic	D
Last updated by staff ID <i>Based on user login details</i>	FoI / EIR / DPA	Automatic	E
Last updated by staff division <i>Based on user login details</i>	FoI / EIR / DPA	Automatic	D

Information Type	Scope	Derivation	Priority
Last updated date [See requirement N-ST-03: GDSC - Data Elements: Date & Time] [See requirement N-ST-05: ISO 8601]	FoI / EIR / DPA	Automatic	E
Allocated current action officer / researcher	FoI / EIR / DPA	Manual	E
Allocated current division <i>Derived from current action officer / researcher</i>	FoI / EIR / DPA	Automatic	HD
RFI status <u>Suggested values:</u> Partially Entered Valid RFI Received Allocated Await Applicant Response (for further information to identify and locate the information requested) Await Approval to Transfer Await Fees Fees Received In Progress Information Found Check with 3rd Party Exemptions Check Formatting Closed	FoI / EIR / DPA	Manual	E
Acknowledgement sent date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	FoI / EIR / DPA	Automatic	E
Advice and assistance sought date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	FoI / EIR / DPA	Manual	E
Advice and assistance provided date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	FoI / EIR / DPA	Manual	E
Research estimate (Hours) [See requirement N-ST-03: GDSC - Data Element: Duration Hours]	FoI / EIR	Manual	E
Exemptions estimate (Hours) [See requirement N-ST-03: GDSC - Data Element: Duration Hours]	FoI / EIR	Manual	D

Information Type	Scope	Derivation	Priority
Commercial / Non-Commercial fees flag <i>Suggested values:</i> Commercial Non-Commercial	EIR	Manual	D
Total prescribed cost (£) [See requirement N-ST-03: GDSC - Data Elements: Amount & Currency Type]	Fol / EIR	Automatic	E
Chargeable prescribed fee (£) [See requirement N-ST-03: GDSC - Data Elements: Amount & Currency Type]	Fol / EIR	Automatic	E
Estimate disbursement fee (£) [See requirement N-ST-03: GDSC - Data Elements: Amount & Currency Type]	Fol / EIR	Manual	HD
Actual disbursement fee (£) [See requirement N-ST-03: GDSC - Data Elements: Amount & Currency Type]	Fol / EIR	Manual	D
Total fee (£) [See requirement N-ST-03: GDSC - Data Elements: Amount & Currency Type]	Fol / EIR / DPA	Automatic	E
Exceeds fee limit flag <i>Suggested values:</i> Y N	Fol	Automatic	E
Fee notice sent date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	Fol / EIR	Manual	E
Fees paid date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	Fol / EIR	Manual	E
Research actual effort (Hours) [See requirement N-ST-03: GDSC - Data Element: Duration Hours]	Fol / EIR	Manual	D
Exemptions actual effort (Hours) [See requirement N-ST-03: GDSC - Data Element: Duration Hours]	Fol / EIR	Manual	D
Name of third party(s) affected by RFI [See requirement N-ST-03: GDSC - Data Elements: Person Full Name & Organisation Name]	Fol / EIR	Manual	D

Information Type	Scope	Derivation	Priority
Third party consent date(s) <i>[See requirement N-ST-03: GDSC - Data Element: Date]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	Fol / EIR	Manual	D
Exempt flag <u>Suggested values:</u> Fol Exemption – Sections 22 Fol Exemption – Sections 23 Fol Exemption – Sections 24 Fol Exemption – Sections 26 Fol Exemption – Sections 27 Fol Exemption – Sections 28 Fol Exemption – Sections 29 Fol Exemption – Sections 30 Fol Exemption – Sections 31 Fol Exemption – Sections 32 Fol Exemption – Sections 33 Fol Exemption – Sections 34 Fol Exemption – Sections 35 Fol Exemption – Sections 36 Fol Exemption – Sections 37 Fol Exemption – Sections 38 Fol Exemption – Sections 39 Fol Exemption – Sections 40 Fol Exemption – Sections 41 Fol Exemption – Sections 42 Fol Exemption – Sections 43 Fol Exemption – Sections 44 Fol Certificate – Section 23(2) Security Matters Fol Certificate – Section 24(3) National Security EIR Exception – Section 3(a) it does not hold the information EIR Exception – Section 3 (b) request is unreasonable EIR Exception – Section 3(c) request is formulated too generally EIR Exception – Section 10(3) (d) unfinished documents or incomplete data EIR Exception – Section 10(3) (e) internal information EIR Exception – Section 10(4) (a) international relations, defence, national security or	Fol / EIR	Manual	E

Information Type	Scope	Derivation	Priority
<p>public safety 10 (4) (b) course of justice, fair trial, conduct of criminal or disciplinary enquiry 10 (4) (c) intellectual property rights 10 (4) (d) confidentiality of proceedings 10 (4) (e) commercial confidentiality 10 (4) (f) protect interests of person who provided the information 10 (4) (g) protection of the environment</p> <p><i>It should be possible to record multiple exemptions against a given RFI.</i></p>			
Reason for applying exemption(s)	FoI / EIR	Manual	D
<p>Refused flag</p> <p><u>Suggested values:</u></p> <p>Refused – Section 13(1); Fee limit Refused – Section 14(1); Vexatious Refused – Section 14(2); Repeated Refused – Section 8; No name & address for correspondence Refused – Section 1(3); Public authority reasonably requires further information to identify request, which has not been supplied</p>	FoI / EIR	Manual	E
<p>Entire document refused flag</p> <p><u>Suggested values:</u></p> <p>Y N</p>	FoI/EIR	Manual	E
<p>Neither confirm nor deny flag</p> <p><u>Suggested values:</u></p> <p>Neither Confirm/Deny – All Neither Confirm/Deny – Part</p>	FoI / EIR / DPA	Manual	E
<p>Outcome of RFI</p> <p><u>Suggested values:</u></p> <p>Closed – No Response to supply further details to identify and locate the information requested Closed – No Fees Information Not Held Information No Longer Available Information Available Elsewhere Transferred Out to another public authority</p>	FoI / EIR / DPA	Manual	E

Information Type	Scope	Derivation	Priority
<i>Transferred Out to National Archives</i> <i>No Information Delivered</i> <i>Information Partially Delivered</i> <i>All Information Delivered</i>			
Information released flag <u>Suggested values:</u> Y N	FoI/EIR	Manual	E
Information summary released <u>Suggested values:</u> Y N	FoI/EIR	Manual	E
Reason for not achieving target deadline.	FoI / EIR / DPA	Manual	D
Level of final signoff <i>This should be from a pre-defined list that is specific to the public authority.</i>	FoI / EIR / DPA	Manual	D
Ministerial certificate issued against RFI <u>Suggested values:</u> Y N	FoI/EIR	Manual	D
Judicial review of ministerial certificate in progress <u>Suggested values:</u> Y N	FoI/EIR	Manual	D
Outcome of judicial review of ministerial certificate <u>Suggested values:</u> Upheld Quashed	FoI/EIR	Manual	D

Appendix C – Appeal Information

Information Type	Scope	Derivation	Priority
Unique identifier	appeals	Automatic	E
Associated RFI unique identifier	appeals	Manual	E
Appeal type <i>Suggested values:</i> Internal Review Information Commissioner Information Tribunal <i>Public authorities may choose to process appeals using a separate system/process</i>	appeals	Manual	E
Appeal raised by <i>Suggested values:</i> Applicant Public Authority	appeals (Information Tribunal)	Manual	HD
Date received by public authority [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	appeals	Manual	E
Date logged by public authority [See requirement N-ST-03: GDSC - Data Elements: Date & Time] [See requirement N-ST-05: ISO 8601]	appeals	Automatic	E
Target due date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	appeals	Automatic	E
Actual completion date [See requirement N-ST-03: GDSC - Data Elements: Date & Time] [See requirement N-ST-05: ISO 8601]	appeals	Automatic	E
Reason for not achieving target deadline.	appeals	Manual	D
Created by staff ID <i>Based on user login details</i>	appeals	Automatic	E
Created by staff division <i>Based on user login details</i>	appeals	Automatic	D
Acknowledgement sent date [See requirement N-ST-03: GDSC -	appeals	Automatic	E

Information Type	Scope	Derivation	Priority
Data Element: Date] [See requirement N-ST-05: ISO 8601]			
Last updated by staff ID <i>Based on user login details</i>	appeals	Automatic	E
Last updated by staff division <i>Based on user login details</i>	appeals	Automatic	D
Last updated date [See requirement N-ST-03: GDSC - Data Elements: Date & Time] [See requirement N-ST-05: ISO 8601]	appeals	Automatic	E
Reason for appeal <u>Suggested values:</u> Fees Amount Fees Limit Repeated/Vexatious Request Fol Exemption – Sections 21-44 EIR Exemption Length of Time Taken to Process Request	appeals	Manual	E
Appeal manager	appeals	Manual	D
Allocated current action officer / researcher	appeals	Manual	E
Allocated current division <i>Derived from current action officer / researcher</i>	appeals	Automatic	D
Appeal status <u>Suggested values:</u> Raised Information Provided Result Pending Compliance with Decision Required Completed	appeals	Manual	E
Outcome of appeal <u>Suggested values (dependent on appeal type):</u> <ul style="list-style-type: none"> ▪ <u>Internal Review</u> Original decision upheld Information partially released Information released Fee notice upheld (option) Fee notice overturned (option) Vexatious/repeated request upheld (option) Request has been processed (option) ▪ <u>Information Commissioner</u> Informal Settlement 	appeals	Manual	E

Information Type	Scope	Derivation	Priority
Decision Notice - Upheld Decision Notice - Part Upheld Decision Notice - Complaint Upheld Fee Notice Upheld Fee Notice Overturned Vexatious/Repeated Request upheld Request has been processed ▪ <u>Information Tribunal</u> Information Commissioners Decision Upheld Information Commissioners Decision Overruled Fee Notice Upheld Fee Notice Overturned Vexatious/Repeated Request upheld Request has been processed			
Compliance required to address decision	appeals	Manual	E
Decision to be complied by date [See requirement N-ST-03: GDSC - Data Element: Date] [See requirement N-ST-05: ISO 8601]	appeals	Manual	E
Enforcement Notice served by Information Commissioner <u>Suggested values:</u> Y N	appeals	Manual	E
Ministerial veto issued flag <u>Suggested values:</u> Y N	appeals	Manual	E
Ministerial veto undergone judicial review <u>Suggested values:</u> Y N	appeals	Manual	E

Appendix D – Contact History Details

Information Type	Scope	Derivation	Priority
Date & time contact received/occurred <i>[See requirement N-ST-03: GDSC - Data Elements: Date & Time]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	FoI / EIR / DPA / appeals	Manual	E
Date & time entered into system <i>[See requirement N-ST-03: GDSC - Data Elements: Date & Time]</i> <i>[See requirement N-ST-05: ISO 8601]</i>	FoI / EIR / DPA / appeals	Automatic	HD
Channel of communication <u>Suggested values:</u> Letter Email Fax Phone Visit Online web Form	FoI / EIR / DPA / appeals	Manual	E
Phone notes	FoI / EIR / DPA / appeals	Manual	E
Action taken	FoI / EIR / DPA / appeals	Manual	E
Created by staff ID <i>Based on user login details</i>	FoI / EIR / DPA / appeals	Automatic	E
Created by staff division <i>Based on user login details</i>	FoI / EIR / DPA / appeals	Automatic	E

Appendix E – Central Monitoring Reporting Requirements

ESSENTIAL REQUIREMENTS

Baseline data

1. Number of requests received that fulfil the definition of a request for the purposes of monitoring.
2. Number of requests which fulfil the definition of a request for the purposes of monitoring and are refused because the department has searched for the information requested and does not hold it.

Performance data in processing requests

Timeliness

3.
 - a) Number of requests that took 20 working days or less to be processed
 - b) Number of working days it took each request which exceeded the 20 working day deadline to be processed.
4. Where it is not carried out simultaneously, the number of working days taken to notify the applicant of the department's decision where the balance of public interest lies (see section 10(3) of the Freedom of Information Act) after the day on which they issue a notice in compliance with section 17(1) of the Freedom of Information Act.
5. Number of requests which fall under the Environmental Information Regulations where the time limit is extended from 20 working days to 40 working days because of the complexity or volume of the request.
6. Number of requests outstanding at the end of the reporting year

Handling of requests

7. Number of times a fee notice was issued or a fee was charged
8. Number of times fee was
 - a) paid and request was processed
 - b) paid and request was not processed
 - c) not paid and request was processed
9. Total amount received in fees
10. Number of times a request was refused because it was considered vexatious
11. Number of times a request was refused because it met the criteria in section 14(2) of the Freedom of Information Act
12. Number of requests where the fee limit under the Freedom of Information Act was invoked
13. Number of requests where departments processed a request in excess of the fees limit because the applicant paid the required amount
14. Of the fees charged under the Environmental Information Regulations the number of times
 - a) a commercial fee was charged
 - b) a non commercial fee was charged

Measures of disclosure

Refusals and disclosures

15. Number of times a request was granted in full.
16. Number of times the department neither confirmed nor denied it held
 - a) all the information requested
 - b) part of the information requested
17. Number of times the information in a request was refused
 - a) in its entirety
 - b) in part
18. The number requests where an entire document within the scope of a request was refused rather than being partially released or a summary of the document produced
19.
 - a) Where a request falls under the Freedom of Information Act, the number of times search of the exemptions in sections 22 to 44 were cited as the reason for refusal.
 - b) Where a request falls under the Environmental Information Regulations, the number of times each of the Exceptions to the right to disclosure of environmental information were cited as the reason for refusal

Measures of reviews of decisions

Internal review

20. Number of requests that were referred for internal review on the grounds that information was withheld
21. Of these, the number of requests where
 - a) original decision was upheld
 - b) original decision upheld in part
 - c) complaint upheld

Appeals to the Information Commissioner

22. Number of requests that were appealed to Information Commissioner on the grounds that information was withheld
23.
 - a) Where a request falls under the Freedom of Information Act, the number of times each of the exemptions in sections 21 to 44 were cited as the reason for withholding information in requests that were being appealed
 - b) Where a request falls under the Environmental Information Regulations, the number of time each of the Exceptions to the right to disclosure of environmental information
24. Number of times a fee notice, reasonable fee or advance fee was appealed to the Information Commissioner
25. Number of times the refusal of a request due to the fee limit being applied was appealed
26. Number of times the refusal of a request due to it being considered repeated or vexatious was appealed
27. Of 23, 24, 25 and 26, the number of requests where
 - a) original decision was upheld
 - b) original decision upheld in part
 - c) complaint upheld
28. Number of times an enforcement notice was served on a department by the Information Commissioner

Appeals to the Information Tribunal

29. Number of times the department appealed a decision of the Information Commissioner to the Information Tribunal

30. Number of times the Information Tribunal upheld a decision of the Information Commissioner in full
31. Number of times the Information Tribunal upheld a decision of the Information Commissioner in part
32. Number of times the Information Tribunal overturned a decision of the Information Commissioner

Use of Certificates to prevent disclosure

33. Number of times a certificate was issued to the Information Commissioner under section 53(2) of the Freedom of Information Act
34. Number of times a certificate was issued under section 23(2) of the Freedom of Information Act
35. Number of times a certificate was issued under section 24(3) of the Freedom of Information Act
36. Number of times a section 23 certificate was
 - a) upheld by the Information Tribunal
 - b) quashed by the Information Tribunal
37. Number of times a section 24 certificate was
 - a) upheld in full by the Information Tribunal
 - b) upheld in part by the Information Tribunal
 - c) quashed by the Information Tribunal

DESIRABLE REQUIREMENTS

The following are criteria that it is desirable that departments collect and the DCA is recommending be collected, but is not intending to request from them:

38. Number of times refusal for the exemptions in sections 21 – 44 were cited as the reason for withholding information in requests that were referred for internal review
39. Number of times a fee notice was reviewed
40. Number of times the refusal of a request due to the fee limit being applied was reviewed
41. Number of times the refusal of a request due to it being considered vexatious was reviewed
42. Number of times the refusal of a request due to it being considered repeated was reviewed
43. Of 40, 41 and 42, the number of requests where
 - a) original decision was upheld
 - b) original decision upheld in part
 - c) complaint upheld
44. A measure of the amount of departmental resources consumed in dealing with requests

Appendix F – Coverage of the Information Monitoring Regime

This section contains the Government Departments, Executive Agencies and Executive NDPBs it is proposed be covered by the Access to Information Monitoring Regime.

All Executive Agencies and Executive NDPBs should report separately from their parent department except where indicated by '#’.

MINISTERIAL GOVERNMENT DEPARTMENTS AND THEIR EXECUTIVE AGENCIES

Office of the Deputy Prime Minister

QEII Conference Centre
Fire Service College
The Planning Inspectorate¹
The Rent Service
Ordnance Survey

¹ The Secretary of State for Wales is responsible for the Planning Inspectorate in Wales.

Cabinet Office

Central Office of Information¹
Government Car and Despatch Agency

¹ The Central Office of Information is a separate Government Department which reports to the Minister of State.

Department for Culture, Media and Sport

Royal Parks Agency

Ministry of Defence

Abro #
Armed Forces Personnel Administration Agency #
Army Personnel Centre #
Army Training and Recruiting Agency #
British Forces Post Office #
Defence Analytical Services Agency #
Defence Aviation Repair Agency #
Defence Bills Agency #
Defence Communications Services Agency #
Defence Dental Agency #
Defence Estates Agency #
Defence Geographic and Imagery Intelligence Agency #
Defence Housing Executive #
Defence Intelligence and Security Centre #
Defence Medical Training Organisation #
Defence Procurement Agency #
Defence Science and Technology Laboratory #

Defence Secondary Care Agency #
Defence Storage and Distribution Agency #
Defence Transport and Movements Agency #
Defence Vetting Agency #
Disposal Services Agency #
Duke of York's Royal Military School #
Medical Supply Agency #
Meteorological Office #
Ministry of Defence Police
Naval Manning Agency #
Naval Recruiting and Training Agency #
Pay and Personnel Agency #
Queen Victoria School #
RAF Personnel Management Agency #
RAF Training Group Defence Agency #
Service Children's Education #
Veterans Agency #
Warship Support Agency #
UK Hydrographic Office #

Department for Education And Skills

Department for Environment, Food and Rural Affairs

Centre for Environment, Fisheries and Aquaculture Science
Central Science Laboratory
Pesticides Safety Directorate¹
Veterinary Laboratories Agency
Veterinary Medicines Directorate²
Rural Payments Agency³

¹ PSD operates on a GB basis by virtue of Agency Agreements with the devolved administrations in Scotland and Wales.

² Certain enforcement and food safety matters devolved to Scotland, Wales and Northern Ireland.

³ The Rural Payments Agency includes the former Intervention Board and MAFF Regional Service Centres. The Agency will make certain payments in Scotland, Wales and Northern Ireland on behalf of the devolved administrations.

Foreign and Commonwealth Office

Department of Health

Medicines and Healthcare products Regulatory Agency
NHS Estates
NHS Pensions Agency
NHS Purchasing and Supply Agency

Home Office

Criminal Records Bureau
Forensic Science Service
Passport and Records Agency
HM Prison Service

Department for International Development

Law Officers' Departments

Legal Secretariat to the Law Officers¹
Treasury Solicitor's Department¹
Crown Prosecution Service¹
Crown Prosecution Service Inspectorate¹
Serious Fraud Office¹

¹ These are separate Government Departments which report to the Attorney General.

Department for Constitutional Affairs

HM Land Registry¹
The National Archives, including both the Public Record Office² and the Historical Manuscripts Commission
Court Service
Public Guardianship Office.

¹ HM Land Registry is a separate Government Department which reports to the Secretary of State of Constitutional Affairs

² The Public Record Office is a separate Government Department which reports to the Secretary of State for Constitutional Affairs

Northern Ireland Office

Compensation Agency

Privy Council Office

The Scotland Office

Department Of Trade and Industry

Export Credits Guarantee Department (ECGD)

Companies House
Employment Tribunals Service
Insolvency Service
National Weights and Measures Laboratory
Patent Office
Small Business Service

Department for Transport

Driver & Vehicle Licensing Agency
Driving Standards Agency
Highways Agency
Maritime and Coastguard Agency
Vehicle Certification Agency
Vehicle Inspectorate

HM Treasury

Debt Management Office
National Savings and Investments¹
Office of National Statistics²
OGCBuying.Solutions
Royal Mint³
Valuation Office⁴

¹ National Savings is a separate Government department which reports to the Chancellor of the Exchequer.

² National Statistics is a separate Government department which reports to the Chancellor of the Exchequer

³ The Royal Mint is a separate Government department which reports to the Chancellor of the Exchequer.

⁴ The Valuation Office is an executive agency of the Chancellor of the Exchequer within the Inland Revenue.

The Wales Office

Department for Work and Pensions

Appeals Service
Job Centre Plus
The Pension Service
Child Support Agency

NON MINISTERIAL GOVERNMENT DEPARTMENTS

Charity Commission
The Crown Estate
HM Customs & Excise
Office of Fair Trading
Food Standards Agency (*including executive agency Meat Hygiene Service*)
Forestry Commission
Office of Gas And Electricity Markets/Gas and Electricity Markets Authority (Ofgem)
Inland Revenue
Office of the International Rail Regulator
Commissioners for the Reduction of the National Debt
Public Works Loan Board
Office of the Rail Regulator
Postal Services Commission
Office for Standards In Education
Office of Telecommunications
Office of Water Services (Ofwat)

EXECUTIVE NDPBS

Legal Services Commission
Health and Safety Executive and Commission
Environment Agency

ERP PROCUREMENT TIMETABLE

ACTION	COMPLETION DATE
Preparation	November 2016
ITT issued to market	1 st December 2016
Framework Suppliers to inform that they are to bid	10 th December 2016
Clarification questions (ongoing) from Suppliers	16 th January 2017
Responses (ongoing) to Suppliers	Latest January 31 st 2017
ITT submissions from Suppliers – 12 noon	1 st February 2017
Initial evaluation	15 th February 2017
Clarification questions to Suppliers	15 th February 2017
Responses to Suppliers	22 nd February 2017
Short List Suppliers and notify those not short listed	28 th February 2017
Supplier Presentations	20 th March 2017
Supplier Reference site visits	27 th March 2017
Final Supplier questions and evaluation	10 th April 2017
Select Preferred Supplier	13 th April 2017
Agree Final Contract detail & Notification of award decision	14 th April 2017
Standstill Period	28 th April 2017
Contract Sign	1 st May 2017

OVERVIEW OF SECTIONS IN THIS DOCUMENT	
	Section
Information	Summary sheet
	Pre-Requisites
Functional Requirements	1.0 Finance Requirements
	2.0 HR Requirements
	3.0 Payroll Requirements
	4.0 Reporting
	5.0 BI, MI & Data
	6.0 Procurement
Non-functional Requirements	7.0 System Operation
	8.0 Technical Requirements
	9.0 Security & Compliance
	10.0 Support Arrangement
	11.0 Future Development
	12.0 Implementation
	13.0 Commercial
Bonus Question	Bonus Question
Scoring	Score Tally (for sections 1.0-13.0)
Pricing	Pricing Schedule

personal & commercial info

Private & Confidential

METHODS ADVISORY LTD
16 St. Martin's le Grand
London
EC14 4EN
FAO [REDACTED]

Shropshire Council
Shirehall
Abbey Foregate
Shrewsbury
Shropshire
SY2 6ND

Date: 05 June 2017

[REDACTED]

Dear Bidder

**RMCI 023 – PROVISION OF ERP SOLUTION
FURTHER COMPETITION THROUGH CROWN COMMERCIAL SERVICES (CCS)
FRAMEWORK – RM1042 – LOT 1 ERP**

SHROPSHIRE COUNCIL

SUBJECT TO CONTRACT

This is an award decision notice. We are pleased to inform you that, following the evaluation process, Shropshire Council proposes to accept your offer in relation to the above contract.

However, this letter is not, at this stage, a communication of Shropshire Council's formal acceptance and the Council shall obey a voluntary "standstill" period which is now in force; this period will end at 23:59 on 15 June 2017.

[REDACTED]

We can confirm that your tender received the following scores and ranking:-

Criteria	Your Weighted Score		Winning Tenderer's Weighted Score		Your Rank (out of all 6 tenders received)	
Quality						
Price						
Overall						

For your further information, we would confirm that your quality submission was scored against the published scoring scheme and the stated award criteria and received the marks set out in the enclosed feedback report and enclosed spreadsheet. The Tenderer feedback report enclosed also sets out the process and individual tender performances throughout the evaluation stage.

We will be in touch with you again at the end of the standstill period.

Yours faithfully

