

Part D

SCOPE OF SERVICES

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1. Introduction

1.1 Document Purpose

This document outlines the requirements of the (Complaints) Case Management System Project. It is important to note that whilst the proposed system is referred to as a Case Management System the system manages “Complaints” that are in turn managed as a “Case”.

RailCorp currently has a number of databases utilised in various units across the organisation in relation to investigations, advocacy and complaint handling. The technology and functionality of these systems vary, however the underlying business processes being supported are similar enough to warrant investigating the feasibility of consolidating RailCorp’s disparate case requirements into a single, enterprise-class (Complaints) Case Management System.

(Complaints) Case Management is defined as the steps required for the WCU (Workplace Conduct Unit) to respond to a matter (eg. allegation of misconduct). The response can be as simple as an answer to an enquiry or as complex as an investigation.

RailCorp is seeking a successful solution that will:

- Provide a secure and reliable (Complaints) Case Management System including the provision of audit trail
- Comply with the relevant privacy and legislative requirements
- Provide a comprehensive and integrated database to ensure quality and efficiency of (Complaints) Case Management and effective monitoring of staff and unit performance
- Provide a comprehensive suite of management reports to monitor performance, outcomes of investigation and appeal cases
- Provide tools to effectively manage compliance aspects and thereby mitigate the risks to RailCorp of non-compliance
- Provide prompt responses to information requests on ad hoc ministerial/media inquiries
- Enable proper risk assessment management where applicable
- Capture the highly sensitive and confidential nature of the data with a reliable tracking and monitoring system
- Enable tracking of status on each step of a case and record the date/time stamp at each stage of investigation, discipline and appeal processes.

1.1.1 Complaints Case Management (CCM) Solution Overview

Key Responsibilities

Mainly this application provides functionality to:

- Manage documents
Management of electronic and paper documents
- Record keeping
Collect and manage information pertaining to a case; and record related events and outcomes.
- Scheduling
Manage time relevant events related to a case
- Reporting
Provide facility to report on contents, status and events across any number of cases.
- Information Retrieval (search)
Simplify access and retrieval across body of case information.
- Work allocation and status tracking
Help manage work distribution and locate responsibility.

Supporting Capabilities for Case Management Solution

Centrally manage users, roles and privileges.

The (Complaints) Case Management should utilise authentication and authorisation capabilities over LDAP.

Enable alerts and notification to be delivered by email.

The (Complaints) Case Management uses MS Exchange Server to send out e-mail notifications. There is no requirement for the CCM application to receive email notifications from the SMTP server.

Enable integration with enterprise content management platform

The (Complaints) Case Management uses ECM Service Provider to store, retrieve, and query documents.

Case information relates to employee records in an ERP system.

RailCorp uses the Mincom Ellipse ERP for services to enquire employee's information

Case management solution will be deployed in multiple environments

Environments are required to support for disaster recovery, development, and test and training needs.

1.2 Functionality Priority

The degree of fit with the business, system and non-functional requirement is measured using the following metrics:

Mandatory	Without satisfying this requirement, the solution is unacceptable.
Highly Desirable	Highly desired functionality, but not the basis for excluding the proposed solution.
Desirable	Would like to have, will only be considered when comparing otherwise equal proposals.

2. Functional Requirements

There are a series of functional requirements that apply across all areas of the Case application package which relate to user groups, user interface, search and retrieval, security and access and disposal of safety information within RailCorp

2.1 User(s) and User Groups

The application package will be required to support initially the Workplace Conduct Unit.

User Groups	Description	Responsibilities
Workplace Conduct Unit	Responsible for disciplinary investigations	<ul style="list-style-type: none"> • Provide High level specialist advice • Provide Case (Complaint) management services • Manage Conduct Issues including but not limited to <ul style="list-style-type: none"> ○ <i>Policy and Code of Conduct breaches made by a RailCorp Employee</i> ○ <i>Transit officer complaints made by the public</i> ○ <i>A RailCorp Employee complaint against another</i> ○ <i>Breaches to the Internet(SurfControl™) and Email policy</i>
Other RailCorp divisions	Responsibility for case management activities in other business contexts	<ul style="list-style-type: none"> • Provide High level specialist advice • Provide Case (Complaint) management services
ICT Support	Responsible for solution configuration and support	<ul style="list-style-type: none"> • System support and management • User administration • Configuration management to support RailCorp business group needs

2.2 General Functional Requirements

The General Functional Requirement section below illustrates functionality that is required across the entire application package.

	Functional Requirement	Priority
BR 1.	The configuration and customisations of Roles, User Groups, User Preferences and all other customisation provided shall be achieved by central configuration (i.e. System Admin functionality), and not by changes to the application source code	Highly Desirable
BR 2.	All information entered into the system will conform with the Regional settings applicable to Australian / English. This includes but may not be limited to Date, Time, Currency and Numeracy	Mandatory

2.3 Case Creation and Modification

Case creation begins with the receipt of a new “matter”. The Case (or Complaint) is classified into one of a number of types: Investigation, TOC Enquiry, Information Only, Reject, Review, Enquiry, Referral or internal Audit. Modification is any change made to a Case during its life cycle.

NOTES:

(1) Whilst the scanning of documents is mentioned throughout this document as a Business Requirement, the need is to be able to store and reference the document as opposed to actually providing a scanning mechanism.

(2) Advocates act on behalf of RailCorp when an appeal is lodged with the TAB (Transport Appeals Board) or an internal ‘right of review’ is requested.

	Functional Requirement	Priority
BR 3.	The Solution will provide ability for a user assigned to a privileged role to create a Case.	Mandatory
BR 4.	The Solution will enable validation of entered information.	Mandatory
BR 5.	Information is added and modified in a Case through its lifecycle by users with sufficient privileges. The Solution will enforce access control and information integrity through the Case lifecycle.	Mandatory
BR 6.	The solution will facilitate hard-copy file management (printing).	Highly Desirable
BR 7.	The solution shall enable notification messages sent via email, when configurable events are triggered.	Highly Desirable
BR 8.	The Solution will have the ability to manage references to documents, housed outside the Case Management system.	Highly Desirable
BR 9.	The Solution will provide an audit trail for documents referenced to a case.	Highly Desirable
BR 10.	The Solution will allow a case to be assigned to an owner. Without an owner, the case is “deferred”.	Mandatory
BR 11.	The Solution will enable a Case to reference other Cases.	Highly Desirable

2.4 Case Progression

Case Progression describes the lifecycle of a Case. Beginning with Intake and Assessment, a case is progressed through various stages of investigation, review, advocacy and closure. These phases are handled by workgroups, not individuals.

	Functional Requirement	Priority
BR 12.	The Solution will support configuration of lifecycle stages and tasks for each type of Case.	Mandatory
BR 13.	The Solution will track and indicate the workload of cases in each lifecycle stage.	Mandatory
BR 14.	The solution will enable designation of a Case owner. Ownership does not constrain access to the case beyond the scope of assigned roles and privileges.	Highly Desirable
BR 15.	The Solution will provide the ability to query the status of all Cases by assigned owner.	Mandatory
BR 16.	The Solution will enable document properties to be assigned. (e.g. Draft, Approved) .	Highly Desirable
BR 17.	The Solution will allow a case to be progressed through lifecycle stages, as authorised by a definable Role.	Highly Desirable

2.5 Case Closure

A completed Case is closed, but remains accessible to privileged roles. The integrity of information in a Closed Case must be maintained.

	Functional Requirement	Priority
BR 18.	The solution will enable a completed Case to be queried, viewed and reported with appropriate user privileges.	Mandatory
BR 19.	The Solution will not permit a Case to be closed with open Tasks.	Mandatory
BR 20.	The Solution will allow a case to be closed based on configurable business rules.	Mandatory
BR 21.	The Solution will allow a Case to be re-opened. This must not jeopardise the integrity of the Case and associated information.	Mandatory

2.6 Notification and Escalation

The Case lifecycle is managed in an environment of scheduled events and activities. The system must track and allow notification for upcoming tasks for compliance with business rules. The drivers for Notification and Escalation include internal KPIs, regulatory requirements and RailCorp EBA and must be configurable.

	Functional Requirement	Priority
BR 22.	The Solution will enable configurable deadlines and notification intervals for a Task.	Highly Desirable
BR 23.	The Solution will maintain the integrity of existing Task notification settings when configuration changes are made.	Highly Desirable
BR 24.	The Solution will enable configuration for an escalation notice on a lapsed Task deadline.	Highly Desirable
BR 25.	The Solution will allow privileged Roles to enable or disable notifications.	Highly Desirable
BR 26.	The Solution will track and indicate notifications for each system user.	Highly Desirable

2.7 Case Information Retrieval: Reviews, Searches and Queries

	Functional Requirement	Priority
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Functional Requirement		Priority
BR 27.	The Solution shall enable compound search queries including the following attributes: <ul style="list-style-type: none"> • Keyword • Business unit or position or name • Reference number • Geographical region • Case lifecycle • Case tasks • Case content and relationships 	Highly Desirable
BR 28.	The Solution shall support: <ul style="list-style-type: none"> • keyword, metadata or full-text searches • use of Boolean operators (and; or; not) to refine searches • “wildcard” or truncated searches (eg. * and ?) at start, end or middle of words • searching for named time intervals; eg. “last week”, “this month”, as well as specific date ranges. • allow the user to narrow their search by searching within search results 	Highly Desirable
BR 29.	The Solution must preserve security and access control restrictions in all information retrieval scenarios.	Mandatory
BR 30.	System users shall be able to configure and export the presentation of search results.	Highly Desirable
BR 31.	Any combination of Search results to be made available by way of hard copy report (Electronic PDF acceptable) with the User name, date and time embedded on such report.	Desirable
BR 32.	The Solution will provide Audit interrogation of Case information retrieval.	Highly Desirable
BR 33.	The Solution will provide the User the option to save and reuse information retrieval criteria.	Highly Desirable

2.8 Management Reports

Functional Requirement		Priority
BR 34.	The Solution will enable configuration of pre-defined reports. Access to pre-defined reports is authorised by configured Role.	Highly Desirable
BR 35.	The Solution will enable ad-hoc reports to be created from an information retrieval query. An ad-hoc report can be deployed as a pre-defined report.	Desirable
BR 36.	The Solution will allow ad-hoc reports to be filtered, grouped and sorted by any combination of information retrieval criteria.	Highly Desirable

2.9 Entity Management

An Entity is a person or a party to a Case. It may either be an individual or an organisation.

Functional Requirement		Priority
BR 37.	The Solution will allow a User to Create and Amend an Entity via Role privilege.	Mandatory
BR 38.	The Solution will allow an Entity to be referenced from any number of Case(s).	Mandatory

	Functional Requirement	Priority
BR 39.	The Solution must maintain the integrity of entity information when a case is closed.	Highly Desirable

2.10 Tasks and Events

	Functional Requirement	Priority
BR 40.	The Solution will enforce a Task and Event relationship constraint. This means that a task can only exist if it is associated and linked to an event.	Mandatory
BR 41.	Users can assign Events to any open Case via Role privilege.	Mandatory

2.11 Written Correspondence

	Functional Requirement	Priority
BR 42.	The Solution will auto populate templates with information made available from a Case(s).	Mandatory
BR 43.	The Solution will utilise Microsoft Word to generate documents.	Desirable

2.12 Advocacy Phase

Advocates act on behalf of RailCorp when an appeal is lodged with the TAB (Transport Appeals Board) or an internal 'right of review' is requested.

	Functional Requirement	Priority
BR 44.	The Solution will provide an email generated with the outcome of the Case. This email will be sent to any number of configurable Roles.	Highly Desirable
BR 45.	The Solution will store an Advocacy master file of all decisions and notice of appeals.	Mandatory
BR 46.	The Solution will track the status of all Advocacies.	Mandatory

3. System Requirements

3.1 Access Control

	System Requirement	Priority
SR 1.	The Solution shall enforce access control based on user role and group membership.	Mandatory
SR 2.	Access control shall be enforced in the display and retrieval and exportation of search results.	Mandatory
SR 3.	The solution shall provide facility to restrict access to a case on a per-user basis. (e.g. If an Investigator becomes the target of an investigation).	Mandatory
SR 4.	The Solution shall provide administration tools that enable the flexible and efficient configuration of users, roles and groups; set access restrictions and permissions on data at varying levels of granularity; and keep a comprehensive and unalterable audit trail of actions taken on the database.	Highly Desirable
SR 5.	The Solution shall allow RailCorp to define core and restricted access data, and the access and amendment rules that relate to such data. In particular, the Solution shall provide for restricted access to legal privileged information and records.	Mandatory

3.2 Auditing

	System Requirement	Priority
SR 6.	Login attempts (successful and failed) shall be logged.	Highly Desirable
SR 7.	The Solution shall log access to nominated data fields deemed personal, private or sensitive.	Highly Desirable

3.3 ISO Compliance

	System Requirement	Priority
SR 8.	The Solution shall be ISO 10002: 2004 compliant.	Desirable

3.4 Warranty & Support Services

Problems raised by RailCorp during the Warranty Support Period that are classified as a defect shall be corrected by the Service Provider at no cost to RailCorp.

	System Requirement	Priority
SR 9.	Warranty Period Applicable – 90 days after acceptance for all services provided by the Contractor.	Mandatory
SR 10.	Warranty Period Applicable – twelve (12) months after acceptance for all services provided by the Contractor.	Highly Desirable

The Service Provider shall provide software support for the (Complaints) Case Management solution, in accordance with the following service levels:

Severity Type	Response Time	Resolution Time or Provision of Work-Around
Critical	60 minutes from initial notification	Within 24 hours
High	2 hours from initial notification	Within 48 hours.
Medium	4 hours from initial notification	By end of 5 business days hence
Low	1 day from initial notification	By end of 10 business days hence

4. Non-Functional Requirements

	Performance	Priority
SR 11.	The system will be used during 6am to 9pm by different divisions. The solution shall be suitable to meet these requirements.	Mandatory
SR 12.	<p>The tenderer shall provide details and examples of how the solution will support scalability of:-</p> <ul style="list-style-type: none"> • Users (up to 200) • Concurrency (up to 70) • Transaction volumes • Response time 	Mandatory

	Security	Priority
SR 13.	<p>The Tenderer shall provide details of how the Solution will support Information Security in terms of:-</p> <ul style="list-style-type: none"> • confidentiality • integrity • availability • audit logging. 	Mandatory
SR 14.	<p>The Tenderer shall provide details of how the Solution supports:-</p> <ul style="list-style-type: none"> • Access Control Services • Authentication & Identification • Encryption. <p>In particular, the Tenderer shall detail solution capabilities for:-</p> <ul style="list-style-type: none"> • authentication • authorisation access control • network security • information security • data encryption 	Mandatory
SR 15.	The solution shall keep audit logs for all inserts, updates and reads. The tenderer is to provide details on audit log export capability for use by its own and/or for third party applications.	Mandatory
SR 16.	The tenderer shall provide details of how the solution will support the data integrity features referenced in the functional requirements section.	Mandatory

Adaptability	Priority
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SR 17.	The Tenderer shall provide details of how the solution can be adapted to support multiple instances of case management solutions within RailCorp.	Mandatory
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	Interoperability	Priority
SR 18.	The Tenderer shall provide details and examples of how the Solution is integrated with external environment eg. mail services, ECM, authentication and the relevant API/standards supported.	Mandatory

	Regulations	Priority
SR 19.	The Tenderer shall provide details of what controls the Solution will provide for Privacy and Records Management and Archival.	Mandatory

	Scalability	Priority
SR 20.	The Tenderer shall demonstrate and give reference customer examples of hardware configurations to provide for scalable solution deployment.	Mandatory

	Reliability	Priority
SR 21.	The Tenderer shall demonstrate and provide examples of system availability in a customer environment for high availability.	Mandatory
SR 22.	The system shall be able to be monitored remotely for system health and availability (e.g. load, uptime, system alerts).	Mandatory

	Useability	Priority
SR 23.	The Tenderer shall provide details of what documentation and user performance tools are available.	Mandatory

Appendix 1: Definitions/Acronyms

Acronym/term	Description
CCM	Complaints Case Management
EBA	Enterprise Bargaining Agreement
ECM(S)	Enterprise Content Management System
ICT	Information Communications & Technology
KPIs	Key Performance Indicators
LDAP	Lightweight Directory Access Protocol
SMTP	Simple Mail Transfer Protocol
TAB	Transport Appeals Board
TOC	Transit Officer Complaint