



**Business and functional requirements  
specification for a CRM/Case system for  
Professional Standards Authority**

Submitted to  
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## 1.0 Introduction

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This document has been prepared at the request of Mark Stobbs and is a statement of business and functional requirements for a replacement of the existing 'Section 29 Database', which is used to support the Professional Standard Authority's (PSA) processes related to the review of fitness to practice decisions made by the nine health regulators.

## 2.0 Scope

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The documented requirements cover the PSA's processes in terms of reviewing the nine health regulators fitness to practice decisions and include:

- The logging of FTP decisions
- The initial assessment of decisions
- Managing the request and submission of further information from the regulators where appropriate
- Case meetings to determine if the PSA should appeal a decision
- Management of the appeals process
- Feeding back learning points to the health regulators
- Reporting

There are also potential longer-term requirements in respect to:

- Managing complaints from the public
- Managing and reporting on performance metrics for the regulators

It is envisaged the system will replace the current SharePoint-based system, for which support ends in July 2019.

## 3.0 Purpose

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The purpose of the following document is to:

- Help the PSA determine the most appropriate route forward.
- Provide the foundation for the selection of an appropriate technology and vendor.
- Provide the basis for the selected vendor to make a firm pricing proposal.
- Reduce the risk of unforeseen additional requirements extending the development phase.

- Provide the platform for a rapid, high quality implementation of the system.

## 4.0 Approach

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These requirements have been built on information gathered through interviews conducted in January and February 2018. The following members of staff were included in this process:

Mark Stobbs  
Briony Alcraft  
Philip Hallam  
Douglas Bilton  
Marija Hume  
John McDermott  
Miranda Ashitey  
Tahir Omar

## 5.0 Current situation

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The PSA currently use a system that's been developed in SharePoint 2010 to support its work in relation to scrutinising the fitness to practice decisions of the nine health regulators. Support for the current system will end in 2019. The PSA plan to replace the system well in advance of support expiring next year.

The principle users of the current system are the Scrutiny and Quality team. While the current system meets the team's needs, there is scope to further streamline and automate the PSA's processes.

The principle process areas covered by the initial phase of the project are:

- The logging of FTP decisions
- The initial assessment of decisions
- Managing the request and the submission of further information from the regulators where appropriate
- Case meetings to determine if the PSA should appeal a decision
- Management of the appeals process
- Feeding back learning points to the health regulators
- Reporting

Potential later phases of work include:

- Managing complaints from the public
- Managing and reporting on performance metrics for the regulators

It is envisaged the new system will provide the following benefits:

- Provide a supported platform
- Provide a flexible environment which can be quickly adapted to meet new requirements
- Cut the time involved in managing the supported processes by reducing the number of places data is maintained and automating previously manual tasks
- Provide greater visibility of a registrant and their current and historic FTP cases
- Improve the ability to query and report from the system

## 6.0 System Requirements

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### 6.1 Overview

The new system will replace the current SharePoint-based system and the data held there will be migrated across to the new platform.

It is envisaged that the new system will replace a number of the data sources and tools that are currently also used to support the Scrutiny and Quality Team's processes. These include:

- The Cases spreadsheet
- The Case Meetings spreadsheet
- The Access database used to generate the second checks report
- Kahootz (used to share case documents with solicitors and barristers)

It isn't currently anticipated data will be migrated from these four sources.

The system that was used prior to the implementation of the current S29 database is still used to provide staff with access to old cases, as the data wasn't migrated to the current system. It is envisaged that this data will also be migrated to the new system, and that this legacy system will be decommissioned in due course.

The core system will be used by around 15 internal staff. The PSA has an office in London, but staff will need to access the system from home and when travelling. In addition, around 5 external researchers will need controlled access to the system.

Regulators will be able to upload documents to the system via a portal, and legal firms will also be able to access specified cases and documents through a portal.

The following section describe how processes are currently supported by the system and how it's envisaged that the new database will support them moving forward. Please note, this is not intended to be definitive. The final design of the system will be based on the capabilities of the selected technology.

### 6.1 Section 29 process

#### 6.1.1 'As is' process

The following section describes how the main review process is currently supported by the system:

All fitness to practice decisions are communicated to the PSA by the health regulator that undertook them.

The decision is added to the system as a case for review by the team. The decision is also added to a spreadsheet which is used to report on the cases received.

Cases where the maximum available sentence has been imposed by the regulator are closed by the administrator. The remaining cases are passed on for review.

The team undertake an initial review of a case. The initial review is appended as a document to the case. At the end of the review the team member may recommend no further action is taken, identify a potential learning point that should be fed back to the regulator, request further information, or request a second opinion by a director.

A sample of cases that are closed at this stage are reviewed by a director. To facilitate this review, each week the administrator exports data from the system into an Access database from which a report is run detailing cases that should be considered for review.

If further information is requested from a regulator, the regulator uploads the documents into a portal. The tracking of requests for further information is currently managed in the cases spreadsheet.

When the requested further information is received, a detailed case review is undertaken by the PSA's internal solicitors and appended to the case as a document.

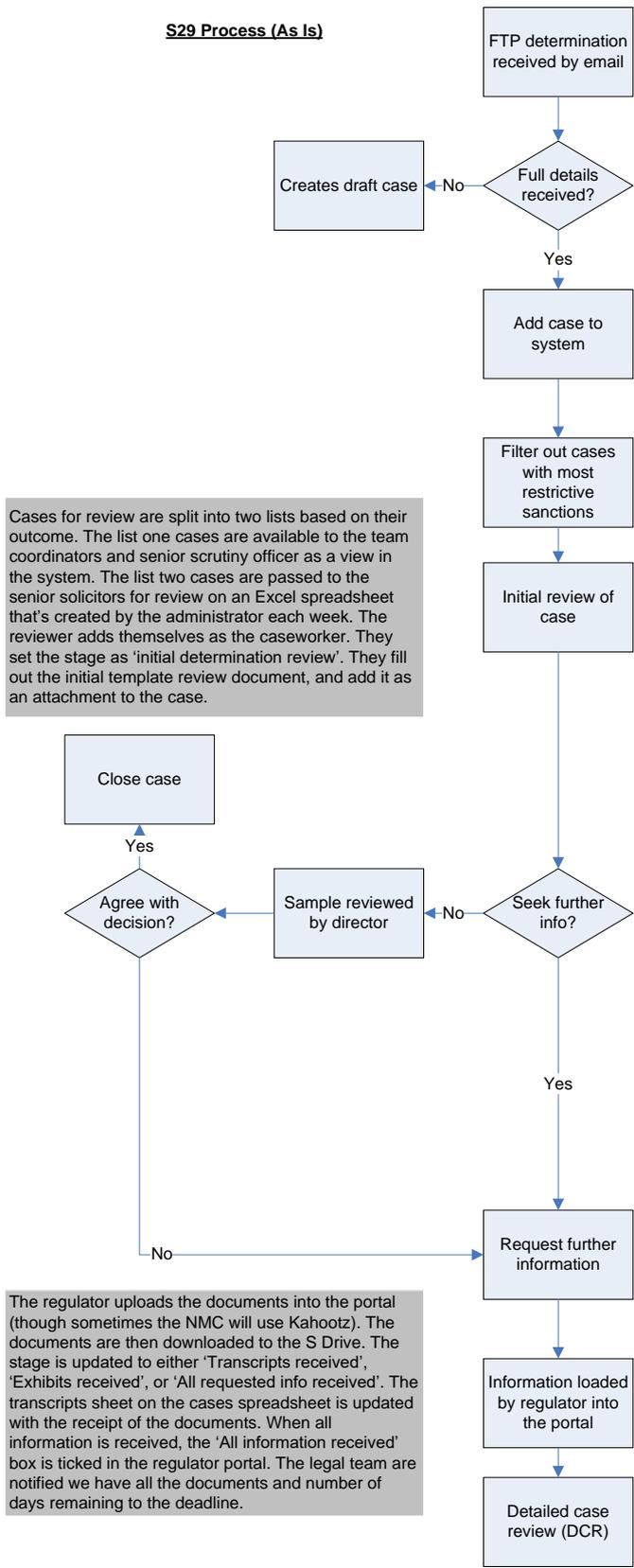
If the solicitor determines that the decision of the regulator is insufficient, a case meeting is convened. The case meeting spreadsheet is used to manage the activities associated with the set-up of and output from the case review meeting.

Additional legal advice may be sought from external solicitors and barristers. To facilitate this, case papers are loaded onto Kahootz which is an online file sharing service.

Depending on the outcome of the case review, the decision may be appealed at court.

The following flow chart sets out the process and how it's supported by the current system in more detail:

**S29 Process (As Is)**



Cases for review are split into two lists based on their outcome. The list one cases are available to the team coordinators and senior scrutiny officer as a view in the system. The list two cases are passed to the senior solicitors for review on an Excel spreadsheet that's created by the administrator each week. The reviewer adds themselves as the caseworker. They set the stage as 'initial determination review'. They fill out the initial template review document, and add it as an attachment to the case.

The regulator uploads the documents into the portal (though sometimes the NMC will use Kahootz). The documents are then downloaded to the S Drive. The stage is updated to either 'Transcripts received', 'Exhibits received', or 'All requested info received'. The transcripts sheet on the cases spreadsheet is updated with the receipt of the documents. When all information is received, the 'All information received' box is ticked in the regulator portal. The legal team are notified we have all the documents and number of days remaining to the deadline.

The administrator creates a draft case in the database and logs the case in the cases spreadsheet. The administrator monitors receipt of the full details.

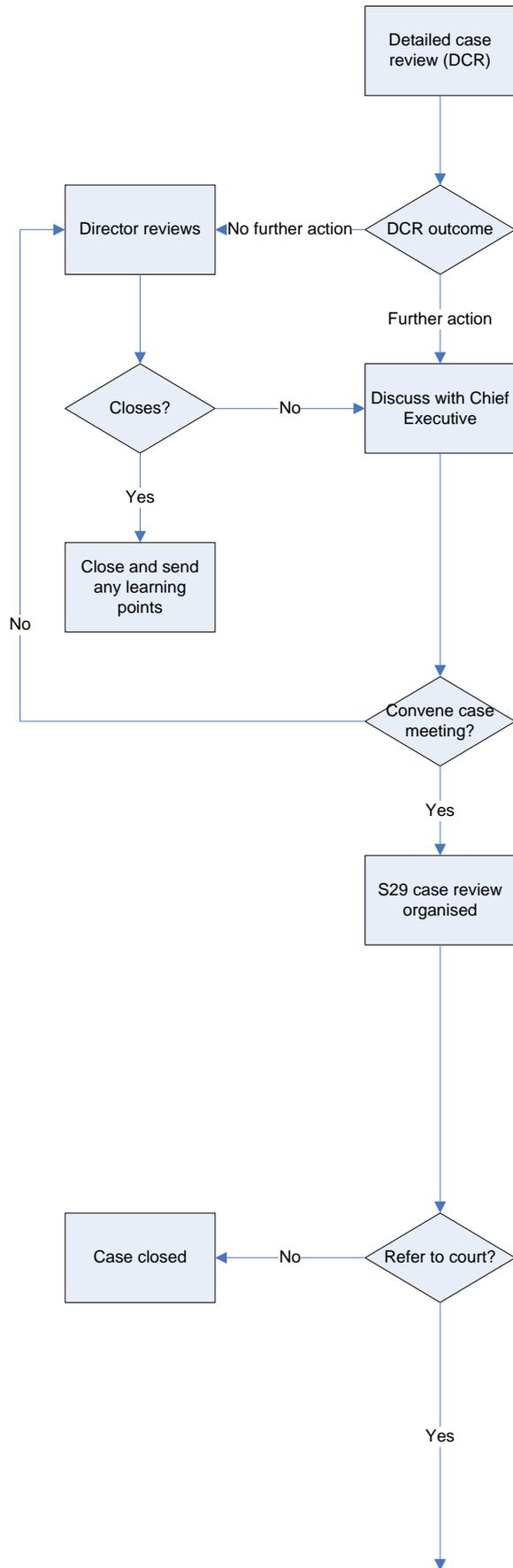
The administrator saves the determination to the S Drive. If the case is already a draft case, it is made a full case. If it relates to an existing case, it is added as a review case from that case, otherwise it is added as a new case. The email from the regulator is forwarded to the database. Any other documents are added to the database. The case is logged on the cases spreadsheet. The system will calculate and update the number of working days available to appeal.

The administrator moves the case to the 'Initial determination review' stage, and adds comment to show the harshest sanction has already been imposed. The case is moved to the 'Case closed' stage.

If there is a learning point, a case comment will be added with a category of 'Draft learning point', and the 'Learning point recommended' field is ticked. If the reviewer requires a second opinion before the case is closed, the 'Second check requested' field is ticked. The stage will be set to 'Determination director review'. Case workers may also identify process issues which may be relevant to a performance review by ticking a 'PR issues' field. A list of cases where second checks have been created, or learning points identified, is created each week by the administrator for the director. A list is also created for the director for random second checks. If the director agrees with the decision, the stage is set to 'Case closed' or 'Send determination learning point'. Alternatively they may add their own final learning point. If they disagree with the decision, they change the stage to 'Request further info'. The administrator closes cases that haven't been checked with a note to say no second check has been carried out. The administrator records the outcome of the case in the cases spreadsheet.

The stage is changed to 'Request further info'. The administrator will request further information. The email request and any response from the regulator is saved to the database. The stage is updated to 'Further info requested'. The date of the request is recorded on the cases spreadsheet. The case details are copied to the transcripts page of the spreadsheet. Due dates and dates followed up are tracked in the spreadsheet. Follow up emails are saved to the database.

The person undertaking the DCR adds their name as the caseworker and changes the stage to 'Detailed case review'. Once the review has been drafted, it's added as a document to the case and also saved to the S Drive.



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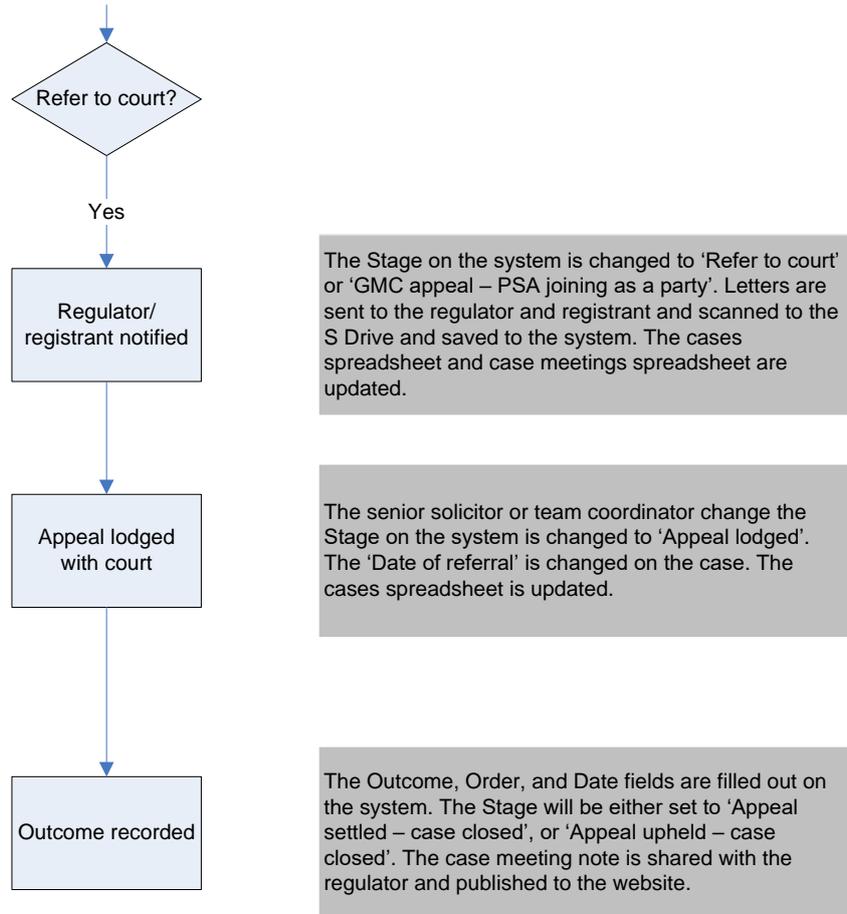
The Status is changed to 'Detailed director case review'.

A comment is added to the case by the reviewer setting out the key points of this discussion.

The director sets the stage to either 'Case closed – post detailed case review' or 'Send learning point – post detailed case review'. The closure of the case is recorded on the cases spreadsheet by the administrator. Any learning points are sent and the stage changed to 'Case closed – learning point sent'.

The reviewer changes the stage to 'Section 29 case meeting', or, if it's a GMC case, to 'GMC appeal – s40b'. The administrator updates the cases spreadsheet with the DCR outcome, and the details of the case meeting are updated in the case meeting spreadsheet as known. The s29 meeting date field is updated in the system. The barrister is appointed. The letter of instruction and related emails are saved to the database. The administrator shares case papers with the relevant chambers/firm by uploading to the Kahootz online file sharing service. The administrator drafts a letter to the regulator inviting comments. The letter is saved to the S Drive and the system.

A letter is sent to the regulator and registrant informing of non-referral. Copies are saved to the S Drive and system. The cases spreadsheet and case meetings spreadsheet are updated. The Stage on the system is changed to 'Case closed – post case meeting' or 'Send case meeting learning point', or 'GMC appeal – PSA not joining as a party'. Case meeting notes are saved to the S Drive and the case in the system. Copies of the note with any learning points are emailed to the regulator, and the email and any response is saved to the system. The case meeting spreadsheet is updated to say the note has been sent.



### 6.1.2 'To be' process

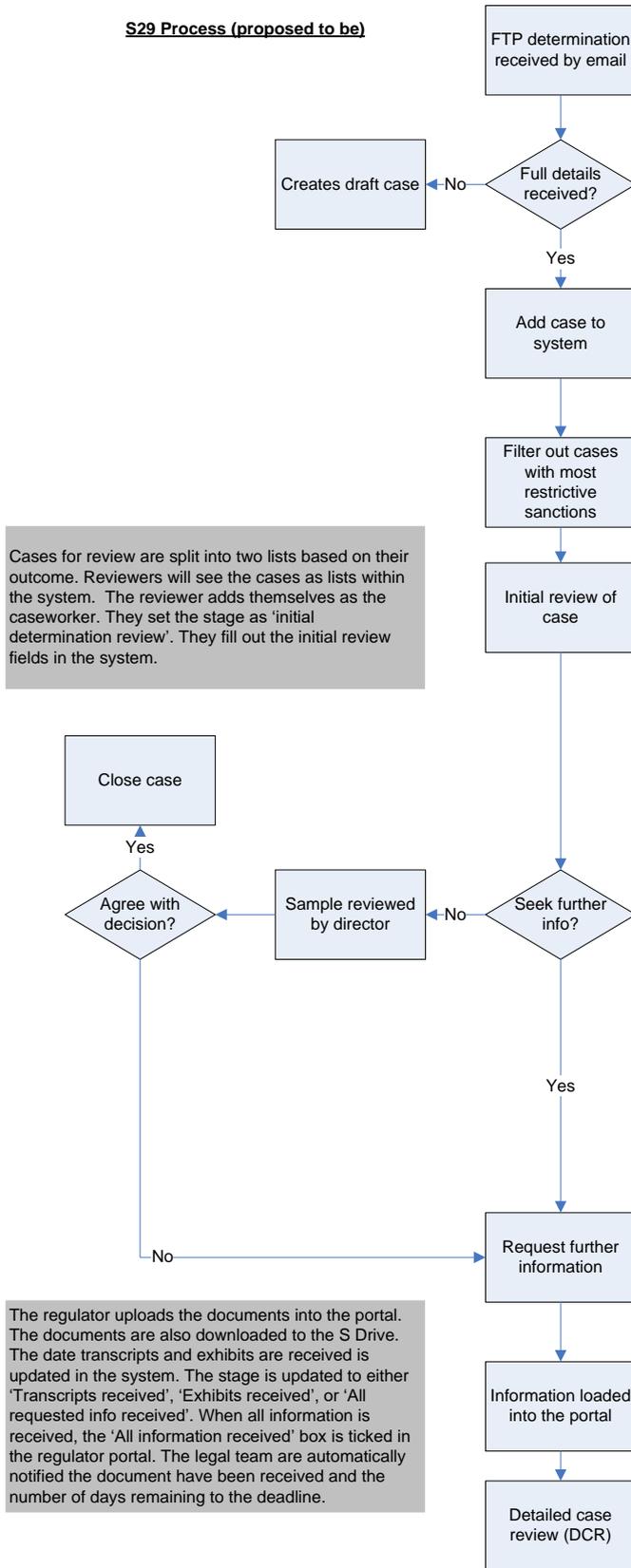
The new system will operate in a similar way to the current one, but will include the following enhancements:

- To avoid maintaining data in multiple places, the cases and case meetings spreadsheets will no longer be used. The additional data tracked by these spreadsheets will now be managed in the system.
- The initial review will be tracked as structured data in the system and will no longer be appended as a document.
- Cases where the initial reviewer has requested a second check will be listed within the system for the director to review and won't require the administrator to prepare a list each week.
- Cases where the initial reviewer has identified a learning point will be listed within the system for the director to review and won't require the administrator to prepare a list each week.

- The 'List Two' cases which will initially be reviewed by the internal senior solicitors will be available as a list in the system and won't require the administrator to prepare a list each week.
- Regulators will be automatically notified when further information is requested on a case, and the administrator will be alerted when files are uploaded by the regulator to the portal.
- Weekly reports will automatically be generated from the system and won't need to be compiled by the administrator.
- Kahootz will no longer be used for file sharing with external lawyers. The user will identify that a case should be shared and who with, and the case and associated documents will be available to the lawyers by logging into a portal, using a user name and password, without the PSA needing to upload the documents.

The 'to be' process and how we currently envisage it being supported by the system is set out below:

**S29 Process (proposed to be)**



Cases for review are split into two lists based on their outcome. Reviewers will see the cases as lists within the system. The reviewer adds themselves as the caseworker. They set the stage as 'initial determination review'. They fill out the initial review fields in the system.

The regulator uploads the documents into the portal. The documents are also downloaded to the S Drive. The date transcripts and exhibits are received is updated in the system. The stage is updated to either 'Transcripts received', 'Exhibits received', or 'All requested info received'. When all information is received, the 'All information received' box is ticked in the regulator portal. The legal team are automatically notified the document have been received and the number of days remaining to the deadline.

The administrator creates a draft case in the database. The administrator monitors receipt of the full details.

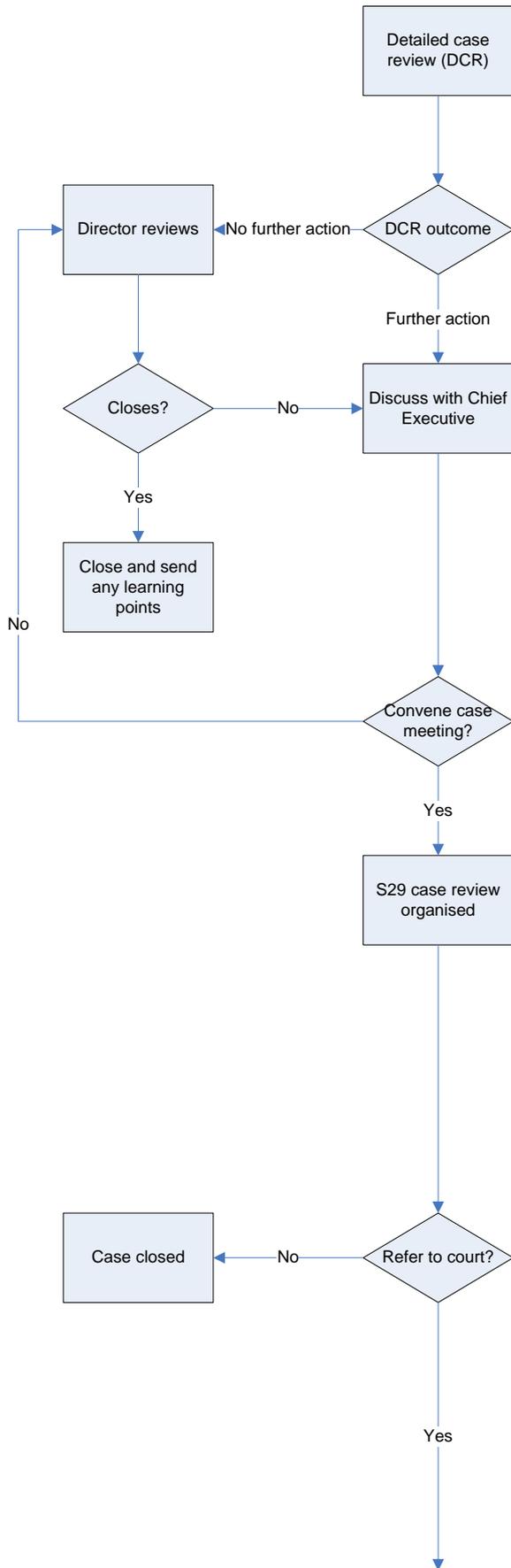
The administrator saves the determination to the S Drive. If the case is already a draft case, it is made a full case. If it relates to an existing case, it is added as a review case from that case, otherwise it's added as a new case. The email from the regulator is forwarded to the database. Any other documents are added to the database. The system will calculate and update the number of working days available to appeal.

The administrator moves the case to the 'Initial determination review' stage, and adds comment to say the harshest sanction has already been imposed. The case is moved to the 'Case closed' stage.

If there is a learning point, a learning point record will be added to the case with a status of 'Draft learning point'. If the reviewer requires a second opinion before the case is closed, the 'Second check requested' field is ticked. The stage will be set to 'Determination director review'. Case workers may also identify procedural issues, which may be relevant to a performance review, by adding a procedural issues record to a case. A list of cases where second checks have been created, or learning points identified, will be available in the system. A report will be created within the system for the director for random second checks. If the director agrees with the decision, the stage is set to 'Case closed' or 'Send determination learning point'. Alternatively they may add their own final learning point. If they disagree with the decision, they change the stage to 'Request further info'. The administrator closes cases that haven't been checked with a note to say no second check has been carried out.

The stage is changed to 'Request further info'. The regulator will be automatically emailed with the request. Any response from the regulator is saved to the database. The stage is updated to 'Further info requested'. The date of the request, and the person requesting further information, is updated in the system. Follow up emails are saved to the database.

The person undertaking the DCR adds their name as the caseworker and changes the stage to 'Detailed case review'. Once the review has been drafted, it's added as a document to the case and saved to the S Drive.



The person undertaking the DCR adds their name as the caseworker and changes the stage to 'Detailed case review'. Once the review has been drafted, it's added as a document to the case.

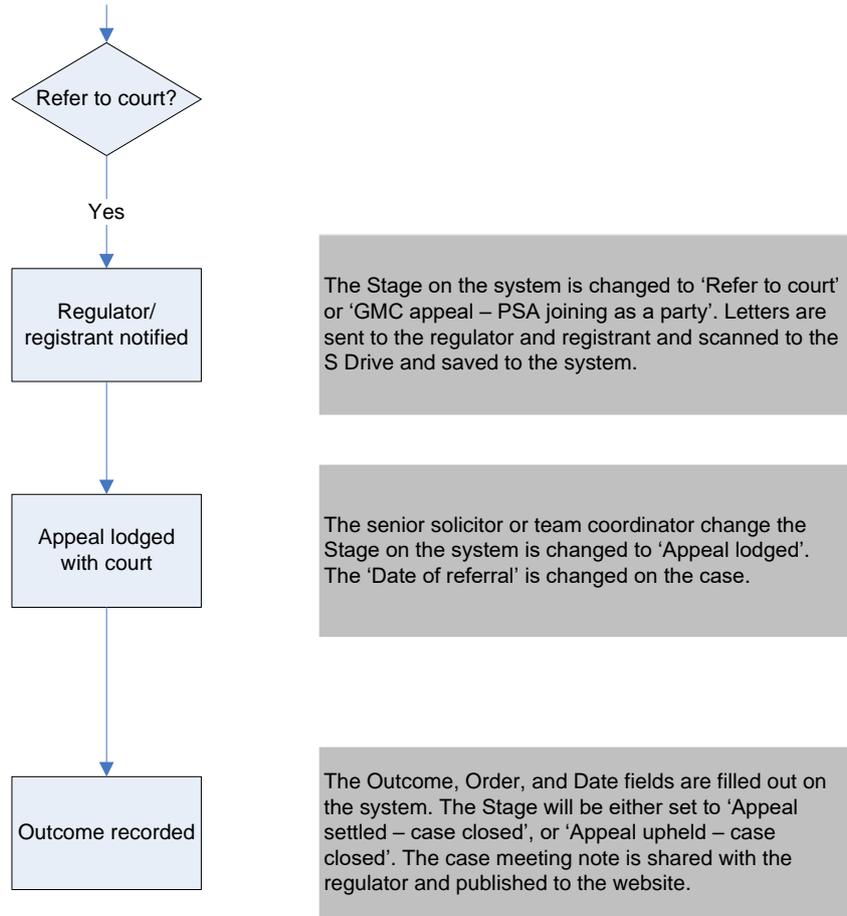
The Status is changed to 'Detailed director case review'. Any learning points are added as draft learning point comments on the case.

A comment is added to the case by the reviewer setting out the key points of this discussion.

The director sets the stage to either 'Case closed – post detailed case review' or 'Send learning point – post detailed case review'. Any learning points are sent and the stage changed to 'Case closed – learning point sent'.

The reviewer changes the stage to 'Section 29 case meeting', or, if it's a GMC case, to 'GMC appeal – s40b'. The s29 meeting date field is updated in the system. The barrister is appointed. The letter of instruction and related emails are saved to the database. The administrator shares case papers with the relevant chambers/firm by giving them access to the case through a portal. The administrator drafts a letter to the regulator inviting comments. The letter is saved to the S Drive and the system.

A letter is sent to the regulator and registrant informing of non-referral. Copies are saved to the S Drive and system. The Stage on the system is changed to 'Case closed – post case meeting' or 'Send case meeting learning point', or 'GMC appeal – PSA not joining as a party'. Case meeting notes are saved to the S Drive and the case in the system. Copies of the note with any learning points are emailed to the regulator, and the email and any response is saved to the system.



## 6.2 Future phases

Potential future requirements include:

- The logging and tracking of complaints relating to FTP cases
- The tracking of performance data received from the regulators

## 7.0 System structure

The following section describes our current view on the key system entities and their relationship with each other:

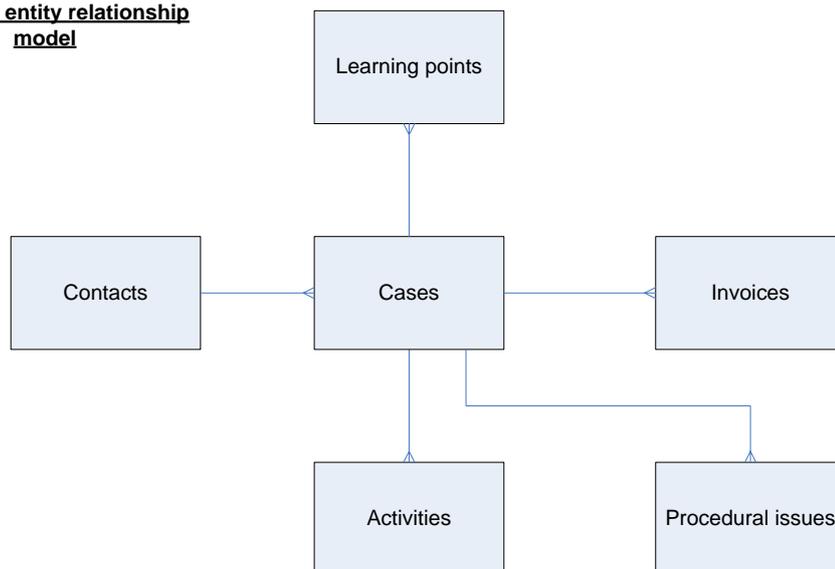
### 7.1 - Main system entities

The following table describes some of the key entities in the system. Please note this is not intended to be a definitive list:

Entity	Description
Contacts	This entity will track information about current and former registrants
Cases	This entity tracks information about the FTP cases that the PSA is reviewing
Learning points	This entity tracks information about learning points that are identified during a case review
Procedural issues	This entity tracks information about procedural issues that are identified during a case review
Invoices	This entity tracks financial data related to a case populated from the PSA's financial system
Activities	This entity will track the activities related to a case. This will include emails, phone conversations, and meetings

The following diagram sets out the relationship between the principle entities:

**Proposed entity relationship model**



## 7.2 – Key entities and related functionality

The following section describes the key entities and the information they will track. The fields described are not intended to be definitive and it is envisaged these will be finalised as part of the design process.

### 7.2.1 – Contact entity fields

The contact entity will track information about current and former registrants. The following fields will be tracked on the contact entity:

Field name	Description	Field type
Title	The contact's salutation i.e. Mr, Mrs, Ms	Pick list
First name	The contact's first name	Free text
Last name	The contact's last name	Free text
Gender	The contact's gender	Pick list
Ethnic origin	The contact's ethnic origin	Pick list
Create date	Indicates the date the record was created	Automatically populated by the system
Created by	Indicates which user created the record	Automatically populated by the system
Last modify date	Indicates when the record was last updated	Automatically populated by the system
Last modified by	Indicates who last modified the record	Automatically populated by the system

### 7.2.2 – Contact associated functionality

Reference	Description
7.2.2.1	From a contact record it will be possible to see associated cases
7.2.2.2	It will be possible to link a contact record to other contact and case records and specify the type of relationship

### 7.2.3 – Case entity fields

The system will track information about the FTP cases the PSA reviews. The data managed will include:

Field name	Description	Section	Field type
Case number	The identifier for the case	General	Automatically generated by the system

Created	The date the case was created	General	Automatically generated by the system
Stage	The stage the case has reached	General	Pick list
Case type	Indicates if the case is a substantive case or review	General	Pick list
Regulator	The regulator that heard the original case	Regulator	Pick list
Type of hearing	The type of hearing i.e. consensual panel disposal	Regulator	Pick list
Regulator case number	The regulator's case reference	Regulator	Free text
PR Issue	Indicates if procedural issues have been identified in terms of the regulator's handling of the case	Regulator	Pick list
Regulator referral	Indicates if the case has been flagged by the regulator for review	Regulator	Pick list
Response to learning point received from regulator	Indicates if a response to a learning point has been received back from the regulator	Regulator	Pick list
Registrant name	The registrant's full name	Registrant	Populated from associated contact record
Registration number	The registration number assigned by the regulator to the registrant	Registrant	Free text
Practitioner type	The type of practitioner i.e. nurse, doctor	Registrant	Pick list
Previous name	The registrant's previous name	Registrant	Free text
Gender	The registrant's gender	Registrant	Populated from associated contact record
Country of qualification	The country where the registrant gained their qualification	Registrant	Pick list
Ethnic origin	The registrant's ethnic origin	Registrant	Populated from associated contact record
Registrant has appealed	Indicates if the registrant is appealing the decision	Registrant	Pick list
Registrant has taken VE	Indicates if the registrant has agreed to voluntary erasure	Registrant	Pick list

Deadline	The deadline to appeal	Case details	Date automatically populated by the system
Time remaining	The number of days remaining until the appeal deadline	Case details	Automatically populated and updated by the system
Determination date	The date the regulator issued their hearing determination	Case details	Date field
Date information received	Date the information was received from the regulator	Case details	Date field
Charge summary	The charges that were made by the regulator	Case details	Multi-select picklist
Sanction duration	The duration of the sanction	Case details	Two fields: a number field, and a pick list indicating if the duration is in days, weeks, months, or years
Sanction type	The type of sanction	Case details	Pick list
Private case?	Indicates if the case hearing was held in private	Case details	Pick list
Case notes	Notes relating to the case	Case details	Free text field
Charge description	A description of the charges	Case details	Free text field
Case jurisdiction	Indicates which jurisdiction the case fell under i.e. England and Wales, Scotland, Northern Ireland	Case details	Pick list
Remitted case	Indicates if the case was remitted by the court	Case details	Pick list
Total invoiced to date	Indicates how much has been invoiced by the legal firm to date	Case details	Currency field populated by the sum of associated invoice records
Original complaint from	Indicates who the original fitness to practice complaint was from i.e. employer, colleague	Complaint	Pick list
Complaint about outcome from	Indicates who complained about the outcome of an FTP case i.e. employer, colleague	Complaint	Pick list
Incident location	Indicates where the incident took place i.e. England, Scotland, Wales, Northern Ireland, Europe	Incident	Pick list

Incident setting	Indicates where the incident took place i.e. care home, hospital	Incident	Pick list
Patient/service user – select age group	Indicates the age of the person primarily impacted by the case i.e. child, adult, older adult	Incident	Pick list
Registrant was a locum at the time of the incident	Indicates if the registrant was a locum at the time of the incident	Incident	Pick list
Case worker	The PSA staff member managing the case	PSA	Look up to user
Initial review performed by	The PSA staff member who did the initial review	PSA	Look up to user
Date initial review completed	The date the initial review was completed	PSA	Date field
Second check requested	Indicates if the initial reviewer has requested a second check	PSA	Pick list
Learning point recommended	Indicates if a learning point has been suggested	PSA	Pick list
Decision sufficient	Indicates if the decision made is considered to be sufficient or insufficient	PSA	Pick list
Case meeting recommended at DCR	Indicates if a case meeting was recommended as the result of a detailed case review	PSA	Pick list
DCR requested by	The staff member that requested a detailed case review	PSA	Look up to user
Decision on facts	Decision based on the facts of the case	First review	Free text
Background	The background to the case	First review	Free text
Decision on statutory grounds	Decision based on the statutory grounds	First review	Free text
Decision on impairment	Decision based on the impairment	First review	Free text
Decision on sanction	Decision based on the sanction	First review	Free text
Decision on the restoration	Decision on the restoration if a restoration case	First review	Free text
Was strike off/erasure available	Was strike off/erasure available?	First review	Free text
Other matters	Other matters considered in the review	First review	Free text
Recommendation	The recommendation of the review	First review	Free text

Determination document	Short cut link to the determination document	First review	Link to document
Date additional information requested	The date additional information was requested from the regulator	Additional information	Date field
Date transcripts received	The date the transcripts were received from the regulator	Additional information	Date field
Time taken to provide transcripts	The number of calendar days between the date information requested and the date the transcripts are received	Additional information	Automatically generated by the system
Date exhibits received	The date the exhibits were received from the regulator	Additional information	Date field
Time taken to provide exhibits	The number of calendar days between the date information requested and the date the exhibits are received	Additional information	Automatically generated by the system
Number of days of transcripts	The number of days of transcripts	Additional information	Number field
DCR undertaken	Indicates if a detailed case review was undertaken	Additional information	Pick list
DCR date	Date of the detailed case review	Additional information	Date field
DCR performed by	The staff member who undertook the detailed case review	Additional information	Look up to user record
DCR document	Short cut link to the DCR document	Additional information	Link to document
Outcome of DCR meeting with CE	Chief Executive's decision on the DCR i.e. s29 meeting, no s29 meeting	Additional information	Pick list
Date of CE DCR decision	Date the Chief Executive's decision is made	Additional information	Date field
Date of case meeting	The time and date of the case meeting	Case meeting	Time/date field
Solicitors/barristers	The Solicitors/barristers advising on the case	Case meeting	Pick list
Report due	The time and date the case report is due	Case meeting	Time/date field
Decision makers	The PSA staff involved in making the decision	Case meeting	Free text
Case lead	The case lead	Case meeting	Look up to user
Case meeting outcome	The outcome of the case meeting	Case meeting	Pick list

Case meeting note drafted by	The PSA staff member drafting the case meeting notes	Case meeting	Look up to user
Outcome letter sent to regulator and registrant	Indicates if the regulator and registrant have been notified	Case meeting	Pick list
Note signed	Indicates if the case meeting note has been signed	Case meeting	Pick list
Date signed note and learning point sent to regulator	Indicates if the case meeting notes and any learning points have been sent to the regulator	Case meeting	Date field
Date to go on website	Indicates when the review can be placed on the website	Case meeting	Date field
Redacted to be published at the outset	Indicates if a redacted version of the review should be published on the website	Case meeting	Pick list
Expiry of unredacted version	Indicates the date the unredacted version expires	Case meeting	Date field
Published on website	Indicates if the review is currently on the website	Case meeting	Date field
Redacted case number	Indicates the anonymous case reference if the case has been redacted	Case meeting	Number field
Counsel's note document	Short cut link to the Counsel's note	Case meeting	Link to document
Appeal type	Indicates if it is a PSA, GMC, or joint appeal	Appeal	Pick list
Headline grounds of appeal	A summary of the grounds for appeal	Appeal	Free text
Case referral date	Date the case was referred to court by the PSA	Appeal	Date field
Case referral date (GMC)	Indicates the date the GMC referred the case to court	Appeal	Date field
Court hearing date	The date of the court hearing	Appeal	Date field
Case judgement date	Date of the case judgement	Appeal	Date field
Court case outcome	The outcome of the court case i.e. dismissed, withdrawn, settled, upheld	Appeal	Date field

Court order	The court order i.e. caution, conditions, erasure, suspension	Appeal	Pick list
Court outcome notes	Notes relating to the court outcome	Appeal	Free text
Created by	Indicates which user created the record	System	Automatically populated by the system
Last modify date	Indicates when the record was last updated	System	Automatically populated by the system
Last modified by	Indicates who last modified the record	System	Automatically populated by the system

#### 7.2.4 – Case associated functionality

Reference	Description
7.2.4.1	From a case record it will be possible to see associated learning point, procedural issue, invoice, and activity records, including tasks, emails, phone calls and meetings.
7.2.4.2	Where a case is a review of an existing case, it should be possible to create the review case from the parent substantive case. The new case will be identified as a review case. There will be a link between the two records, so it should be possible to see the associated parent case from the review case, and any review cases from the parent case. When a review case is created from the parent case the following fields should be automatically populated based on the values in the parent case: Regulator, Type of Hearing, Registrant Name, Gender, Registrant Number, Practitioner Type, and Charge Summary.
7.2.4.3	It will be possible to easily link a case to another case or another contact record and specify the relationship type. For example, link two cases that are for the same or similar issues but have been raised by different regulators. It should also be possible to unlink cases if required.
7.2.4.4	While it should be possible to save a case without complete information, the Stage on a case should default to Draft until such time as the following fields are populated: Registrant name, Regulator, Practitioner type, Sanction Type, Charge Summary, Sanction Duration, Determination Date, at which point the stage should default to Full Case.
7.2.4.5	It should be possible to attach a document to a case. Documents may be a range of different types including PDF's and Word documents. From the case record it should be possible to see the name of the document, the file type, the file size, who created it, and when it was

	uploaded. Ideally it should be possible to 'preview' a document without opening it, and mark a file as read.
7.2.4.6	When a case is added, the deadline date for the PSA to appeal a decision should be automatically populated. This is currently 67 working days if the registrant has the right to appeal the sanction, and 56 workings days if they don't. The number of days for the appeal deadline will be managed within the system's settings and will be held against the sanction outcome for each regulator. This should be editable. The settings of the system should track public holidays, so that these are not included in the working day computation. The final day should no fall on a weekend or public holiday.
7.2.4.7	The Time Remaining field should be updated by the system daily so that users are aware how close the deadline is for appealing a case.
7.2.4.8	The values in the Practitioner Type field will be limited to those that are related to the selected value in the Regulator field. For example, limited to 'Doctor' if the GMC was selected as the regulator.
7.2.4.9	Within the settings of the system it should be possible to specify for any given stage on a case which options are available to the user when they change the stage value. i.e. the previous and next stage might be the only values the user can select from rather than all possible stage values.
7.2.4.10	It should be possible to stop a user moving from one stage to another if defined fields haven't been filled out, or specific documents uploaded.
7.2.4.11	It should be possible to easily specify and save multiple 'views' of case data. For example, all cases that at a Stage of 'further information requested', or all cases where I undertook the original case review which have gone to appeal.
7.2.4.12	It should be possible to update multiple case records at the same time, for example update the Stage field.
7.2.4.13	The system should track an audit trail of changes to a case record including original values and who made any changes. The system should track an audit trail of any comments added and documents uploaded or deleted.
7.2.4.14	The system should generate a report of the number of cases that need a random second check for each sanction type. The report should ideally randomly select the cases to be reviewed by the director. Either 10% or 20% of cases need to be checked based the type of sanction.

7.2.4.15	In order to make the number of fields on the case entity manageable, the system should ideally allow unused sections of data to be hidden on the entity form if they aren't populated. i.e. the appeal section is hidden if no appeal related fields are populated.
7.2.4.16	A 'Total Invoiced to date' field will be automatically calculated based on the total invoice value of associated invoice records for a case.
7.2.4.17	It should not be possible to save a case with a 'Stage' field value of 'Send learning point', if there is no learning point linked to the case.

### 7.2.5 – Learning point entity fields

The learning point entity will track information about learning points identified during a case review. The following fields will be tracked on the learning point entity:

Field name	Description	Field type
Case	The related case	Look up to case record
Description	Description of the learning point that has been identified	Free text
Status	Indicates the status of the learning point i.e. draft, final,	Pick list
Create date	Indicates the date the record was created	Automatically populated by the system
Created by	Indicates which user created the record	Automatically populated by the system
Last modify date	Indicates when the record was last updated	Automatically populated by the system
Last modified by	Indicates who last modified the record	Automatically populated by the system

### 7.2.6 – Procedural issue entity fields

The procedural issue entity will track information about procedural issues identified during a case review. The following fields will be tracked on the procedural issue entity:

Field name	Description	Field type
Case	The related case	Look up to case record
Description	Description of the procedural issue that has been identified	Free text
Status	Indicates the status of the learning point i.e. draft, final,	Pick list
Create date	Indicates the date the record was created	Automatically populated by the system
Created by	Indicates which user created the record	Automatically populated by the system

Last modify date	Indicates when the record was last updated	Automatically populated by the system
Last modified by	Indicates who last modified the record	Automatically populated by the system

### 7.2.7 – Invoice entity fields

It is envisaged that the system will track invoices relating to a case. This data will be primarily populated through a one-way integration with the PSA's financial software which is currently Sage Line 50. It is envisaged the following fields will be tracked:

Field name	Description	Field type
Case	The associated case record	Look up to case record
Supplier	The legal firm who performed the work	Free text
Date of invoice	The invoice date	Date field
Invoice number	The supplier's invoice number	Free text
Account code	The account code for the invoice	Free text
Invoice amount	The amount of the invoice	Currency field
Create date	Indicates the date the record was created	Automatically populated by the system
Created by	Indicates which user created the record	Automatically populated by the system
Last modify date	Indicates when the record was last updated	Automatically populated by the system
Last modified by	Indicates who last modified the record	Automatically populated by the system

### 7.2.8 – Activity entity fields

The system will track activities such as emails, phone conversations, and meetings. The following fields will be tracked:

Field name	Description	Field type
Case	The related case	Look up to case record
Contact	The related contact	Look up to contact record
Status	The status of the activity i.e. open, closed	Pick list
Activity type	Indicates the type of activity i.e. email, phone conversation, meeting	Pick list
Due date	Date the activity is due	Date field
Description	Description of the activity	Free text
Owner	The member of staff who is assigned the activity	Look up to user record
Completion date	Date the activity was completed	Date field

Category	Categorises the type of activity	Pick list
Create date	Indicates the date the record was created	Automatically populated by the system
Created by	Indicates which user created the record	Automatically populated by the system
Last modify date	Indicates when the record was last updated	Automatically populated by the system
Last updated by	Indicates which user updated the record	Automatically populated by the system

### 7.2.9 - Activity associated functionality

The system will be used to schedule and track activities relating to interactions with contacts in the database. The following capabilities are required:

Reference	Description
7.2.9.1	The system will allow the definition and assignment of activities. The activity types will include emails, meetings, phone calls, and to-do's. These activities may be scheduled for specific times and dates. There should be the option to assign alarms and alerts to highlight important activities. It should be possible to prioritise activities. Activities may be scheduled for other users.
7.2.9.2	Assigned activities should be visible against case and contact records, as well as in a list view, and in a diary view. It should be possible to filter the list view for a specific date range.
7.2.9.3	Open and closed activities for all cases should be rolled up and visible at the contact record level.
7.2.9.4	It should be possible to add notes to a case or contact record
7.2.9.5	It should be possible to apply filters to open and closed activities to help find the required information. Filters should include by activity type, date range, and user.
7.2.9.6	The system should be integrated into Microsoft Outlook such that:  Incoming emails and attachments may be stored against a case.  Outgoing emails and attachments may be stored against the case  It should be possible for scheduled activities, such as a case meeting, within the CRM system to be synchronised with the Outlook diary.  It should be possible for activities scheduled in the Outlook diary to be synchronised with the diary within the CRM system.

	It should be possible for a change made to an activity in Outlook to be synchronized with the CRM diary, and a change to an activity within the CRM system to be synchronized with Outlook.
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### 7.2.10 – Portal capabilities

It is envisaged that the system will have portal capabilities that will allow regulators to upload further information to cases when requested, and for legal firms to access cases that are assigned to them:

Reference	Description
7.2.10.1	When the Stage field on a case is set to 'Further information requested' an email will be automatically sent to the relevant regulator requesting they upload the case transcripts into a portal.
7.2.10.2	When the regulator accesses the portal, they will be presented with the cases where they have been requested to provide further information, but where that upload has yet to be completed. Two folders will be available for the regulator to upload transcripts and exhibits. A regulator will only see their own cases, and not the cases of other regulators.
7.2.10.3	The regulator should be able to upload multiple documents to the folder at the same time, and there should be no restrictions on the type or size of the file (users are currently limited to 2gmb).
7.2.10.4	The regulator should be able to see and open the files they have uploaded. The regulator should be able to delete files if, for example, they have uploaded a file by mistake.
7.2.10.5	The regulator should ideally be able to see a status bar to guide them on the progress of uploads. i.e. see that an upload is 55% complete.
7.2.10.6	The PSA administrator should receive an automated email notification when files have been uploaded to the portal.
7.2.10.7	Files uploaded to the portal will automatically be appended to the relevant case record.
7.2.10.8	Once the PSA administrator indicates all documents have been received by changing the stage to 'All information received' the case folder will no longer be visible to the regulator.
7.2.10.9	When the PSA decide that they wish to share a case and its related documents with an external legal firm, they will be able to opt to share a case and all details of the case and associated documents will become visible to the designated lawyer when they log into the portal. The legal

	firm will only see cases that have been allocated to them. The PSA will be able to 'unshare' a case at which point it will no longer be visible to the legal firm.
7.2.10.10	The legal firm should be able to download appended documents to cases shared with them. They should also be able to upload documents within the portal and these will, in turn, be appended to the case.

### 7.2.11 - Searching and creating mailing lists

The following section sets out the requirements for searching the system:

Reference	Description
7.2.11.1	There should be a simple means to search on key fields such as contact name and email address. These simple search criteria should include 'starting with' and 'contains' searches.
7.2.11.2	It should be possible to make all fields searchable.
7.2.11.3	It should be possible to perform key word searches, to bring back records that contain identified key words.
7.2.11.4	It should be possible to search for documents in the system. Ideally a key word search would be able to identify documents that contain defined search terms within the document.
7.2.11.5	The system should facilitate complex searches which allow the combination of any field within the database including those that have been added through configuration or customization of the system. A complex search should include the ability to perform 'and' 'or' searches.
7.2.11.6	Search functionality should be user friendly and should not require reliance on technical resources.
7.2.11.7	It should be possible to save groups of records that meet a specified search as a list within the system. It should be possible to define a group as static or dynamic. A static list will remain unchanged over time, a dynamic list would be updated according to which records currently meet the defined criteria.
7.2.11.8	It should be possible to export a group of records to Excel. Access to this function should be controlled through system security.

### 7.2.12 - Data entry and de-duplication

The CRM system will provide the following capabilities to improve the speed and accuracy of data entry and reduce duplicate records:

Reference	Description
7.2.12.1	It will be possible to make any data entry field mandatory or recommended.
7.2.12.2	When a new contact or case record is added, the system will prompt the user with any potential duplicate records.
7.2.12.3	Provide duplicate identification whereby all, or a group of, records may be searched to identify potential duplicate records. This search for duplicates should be based on one, or a combination of selectable fields, for example company name and city for organisations, and last name and email for contacts.
7.2.12.4	Provide sophisticated data import tools that allow potential duplicates to be identified and merged as part of the data import process.
7.2.12.5	Allow the merging of duplicate records, such that the administrator can select which data to keep from each record, rather than make one entirely subservient to another.

### 7.2.13 - Mail merge

It is envisaged that users will utilise the system to help generate correspondence to prospects and clients. The system will provide the following mail-merge capabilities:

Reference	Description
7.2.13.1	Will allow a document to be merged to a single contact or a group of contacts.
7.2.13.2	Will allow a mail-merge template to be defined in either Microsoft Word or Outlook email. The template should be able to use any field within the database, including both standard fields and those added through the configuration and customization process. It should be possible to save templates for future use.
7.2.13.3	There should be both personal mail-merge templates that a user has created for their own use, and public mail-merge templates that are accessible by a wider community of users. It should be possible to manage through the administration function which templates an individual has access to.

7.2.13.4	It should be possible for a user to preview a mail-merge document before printing or emailing and edit the merged document if required.
7.2.13.5	When a mail-merge is completed, the user should have the ability to save details of the mail-merge to contact history. This should include the option to attach a copy of the document sent to the record.
7.2.14.6	The creation of mail-merge templates should be a user activity and should not need the input of a technical resource.

### 7.2.14 - Appending files

The system should allow the users to attach files to case records in the system.

Reference	Description
7.2.14.1	It should be possible to append files to a case record
7.2.14.2	It should be possible to give each file added to a record a description, and the user and time and date that the document was appended should be automatically recorded. It should also be possible to categorise appended documents.
7.2.14.3	There should be no limitation on the number of files appended to a case or the individual or total file size.
7.2.14.4	It should be possible to have multiple folders of records appended to a case record.
7.2.14.4	When a file is appended to the record, a copy of the file should be held centrally to provide visibility should the file be held on a local drive
7.2.14.5	The system should allow any file type to be stored and should call up the related application and display the file when selected
7.2.14.6	It should be possible to search for documents from a case based on criteria such as date uploaded, file type, file name, file category, file size, or who uploaded the record.

### 7.2.15 - Workflow

The system should provide workflow management capabilities, such that a change in the system can trigger an action or a sequence of actions. Actions should include the generation of activity records, and the automatic creation of emails.

Potential workflows include:

- Automated email to the relevant regulator when a case stage is moved to 'Further information requested'
- Automated email or alert when documents have been uploaded to the system from the portal
- Automated email when all requested information is received from a regulator
- Reminders in advance of key deadlines

#### 7.2.16 - Access

The CRM system should provide the following access capabilities:

Reference	Description
7.2.16.1	Provide immediate, internet browser-based access to the system when operating from the PSA's offices as well as when working remotely
7.2.16.2	Provide full access to the system from tablets and smart phones, including iPhones and iPads
7.2.16.3	Access will be controlled through user names and passwords and access may be limited to specific IP addresses

#### 7.2.17 - Data migration

Data will be migrated from the following systems:

Reference	Description
7.2.17.1	All data from the current SharePoint based system will be migrated. This will include the following record types: contacts, cases, and documents. There are estimated to be around 20,000 case records on the current system.
7.2.17.2	All data from the Previous legacy MySQL database. This will include the following record types: contacts, cases, and documents. There are estimated to be around 20,000 case records on this system.

#### 7.2.18 - Data integration

It is envisaged the system will be integrated with the following:

Reference	Description
7.2.18.1	Integration with Microsoft Outlook as described in 7.2.9.6
7.2.18.2	The system will be integrated with the Sage Line 50 financial system. This will be a one-way integration from Sage to CRM. Invoice and accrual data held in Sage will be visible for each case in the CRM system.

### 7.2.19 - Reporting

It is anticipated that the system will have a range of reporting capabilities including:

Reference	Description
7.2.19.1	Dashboard capabilities that allow users and managers to view key metrics from a single data view. It will be possible for different users to have different dashboard views and to be able to create custom dashboards.
7.2.19.2	Export to Excel capabilities which allow users to make use of Excel's graphing capabilities.
7.2.19.3	Provide the ability to create customised reports, without the need to use an external supplier, including the ability to depict data graphically.
7.2.19.4	Provide security such that the ability to export data to Excel or have access to individual customised reports can be controlled by user.
7.2.19.5	Identified reports include: <ul style="list-style-type: none"> <li>• Number of cases received</li> <li>• Number of cases received by regulator</li> <li>• Cases by stage</li> <li>• Cases by case handler</li> <li>• Cases by type</li> <li>• Cases by type and stage</li> <li>• PSA case outcomes</li> <li>• Number of cases returned to court</li> <li>• Charges by regulator</li> <li>• S29 meeting cases</li> <li>• Learning points by deadline date</li> <li>• Learning point by added date</li> <li>• Directors random second check report</li> <li>• Weekly report</li> </ul>

### 7.2.20 - Security

The following security related functionality is required:

Reference	Description
7.2.20.1	The system will require a user name and password in order for a user to access it. The system should have the ability to enforce a password change at a definable interval.
7.2.20.2	The system will provide the ability to restrict access to the system from a specific machine or IP address.
7.2.20.3	The ability to specify by user, or group of users, which record types they have visibility of.
7.2.20.4	For those records a user has visibility of, to be able to define which fields they can see, and if they can see the field, whether they can update or edit it.
7.2.20.5	It will be possible to limit a user's visibility of records to a specific group of records.
7.2.20.6	The ability to restrict functionality by user or group of users, in particular the ability to restrict the export of data.
7.2.20.7	The ability to restrict access to management reports within the system.
7.2.20.8	It should be possible to create audit trails for selected fields within the system. These will time and date stamp amendments, identify the user making the change, and note the old and new values.
7.2.20.9	It should be possible to restrict a user's ability to delete records from the system.
7.2.20.10	The PSA will allow a small number of external researchers access to the system. These users should only have read access to data and specifically be restricted from being able to add, edit, or delete records, or export data. Researchers will change on a fairly regular basis.

### 7.2.21 - Administration requirements

It is anticipated that the system will have the following administrative capabilities:

Reference	Description
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7.2.21.1	It should be possible to define different forms for each entity for different users and teams. For example, the fields that one team may wish to see on a case record may be different from those seen by other teams. The positioning of fields and formatting of the forms may be different from team to team allowing each to easily see the data that's important to their job role
7.2.21.2	It should be possible to mass update a group of records, changing the selected values in one or more fields
7.2.21.3	It should be possible to globally change the owner for a group of records, for example reassign phone calls, or quotations
7.2.21.4	It should be possible to reassign licenses from one user to another without losing data history

### 7.2.22 - Development requirements

It is important that the system is flexible enough to meet emerging requirements. The following development capabilities are required:

Reference	Description
7.2.22.1	Ability to define multiple, related, entities.
7.2.22.2	Ability to relate entities on a one to many or a many to many basis.
7.2.22.3	Ability to define fields against entities of varying types including, but not limited to, text, numeric, money, picklist, lookup and date/time.
7.2.22.4	Ability to design forms using a visual designer.
7.2.22.5	Ability to add automation to forms such that actions can be triggered based on the value entered in a field.
7.2.22.6	Ability to add logical workflow that can be triggered on the creation, amendment or deletion of records.
7.2.22.7	Ability to read or write data via standard web service functionality.
7.2.22.8	Ability to extend functionality through the creation of custom written plugins.

### 7.2.23 - Future phase requirements

There are a number of requirements that have been identified which may form part of a second or later phase. These include:

Reference	Description
7.2.23.1	The logging and tracking of complaints relating to FTP cases
7.2.23.2	The tracking of performance data received from the regulators

### 7.2.24 - Current IT environment

Area	Technology
Desktop/laptop operating system	Laptops and desktops run Windows 10 Pro as a base operating system but most work is done on a virtual desktop via the Horizon View client. The virtual desktop is Windows 7 based.  There are a small number of Windows 7 machines in use.
Email	Microsoft Exchange Online (Office 365).  The previous legacy database still uses an old Exchange 2007 for a relay but this is rarely used.
Office client software	All users have Office 365.
Desktop/Laptop specification	All desktops are virtual and accessed via the Horizon View client.
Server environment	The PSA host virtual servers inhouse using VMWare. The servers run a mixture of Windows Server 2008 and Windows Server 2012 R2. There is capacity for additional servers to be added.
Connectivity	The PSA has a fibre line with 100Mb Up bandwidth. They also operate a 10Mb back up link.
Profile of existing Section 29 Database	<ul style="list-style-type: none"> <li>• SharePoint 2010 based</li> <li>• SQL Server 2008 back end (1 x live and 1 x backup) – live SQL Server shared with Horizon View.</li> </ul>

	<ul style="list-style-type: none"> <li>• 3 environments - Live, Dev and 1 other.</li> <li>• Sits on 4 servers – 2 front-end and 2 back-end.</li> <li>• Front end written in SharePoint.</li> <li>• Email comes in to Office 365 email box which gets recorded on SharePoint.</li> <li>• SharePoint handles the interface to the DB and documents storage.</li> </ul>
Profile of Legacy Database	<ul style="list-style-type: none"> <li>• IIS 7 – web-based application</li> <li>• Accessed via Exchange 2007</li> <li>• MySQL database</li> </ul>

### 7.2.25 – Defined technical requirements for the new system

Aspect	Requirement
Environments	Three environments will be implemented: development, UAT, and production
Platform	If hosted on premise, then it should ideally be a virtual environment supported by VMware. A cloud-based platform is also considered to be a viable option.
Database	If the system is on premise the database should be a minimum of Microsoft SQL Server 2016.
Access	Internal access with limited external access via whitelisting IP address.
Capacity	The system should be able to accommodate about 45,000 existing cases, and up to 10,000 new cases per annum over the life of the system, which is anticipated to be no less than 10 years.
Back up	For an on-premise solution, the PSA will back up the virtual servers and replicate to a disaster recovery offsite facility.