

		Mandatory/ Desirable
#	Criteria/Requirements	
1. AUDIT & ACCOUNTABILITY		
1.1	Create and maintain a complete record of the way a request (and any review or appeal) is handled. Including: • Copy of all correspondence with the applicant, University of Edinburgh (UoE) staff, third parties • Copy of the information collated to answer the request • Notes of phone conversations/meetings • Any other relevant documentation, e.g. Review report for internal reviewer • Audit trail of who did what when	M
1.2	Calculates the statutory deadline for the response automatically and accurately using: • Request type • Date of receipt of valid request • Bank holidays	M
1.3	Recalculates the statutory deadline for the response in the following circumstances: • Clarification sought and received (FOI/EIR) • Fee notice issued and fee received (FOI/EIR) • Deadline extension for complex or voluminous requests (DP / EIR)	D
1.4	Generates a timeline of the handling of a request, which can be annotated by the case officer / request manager, so that case officers and request managers can learn lessons from the handling of individual requests. E.g. reflect on why a request was late and what could have been done differently with hindsight.	D
1.5	Data and metadata fields can be edited, and the edits recorded. E.g. if there is an error it can be fixed, but details of the change are also recorded	D
2. REQUEST HANDLING EFFICIENCY		
2.1	The system is intuitive to use. Business reps/practitioners do not need to be 'trained' and Records Management Section (RMS) case officers need only minimal training. We accept that 'super users' will need more detailed training.	M
2.2	Request creation and recording is as automated as possible, i.e. case officers need to do minimal manual recording, logging, and filing activities.	D
2.3	Has a mechanism to create a 'project plan' for each request with internal milestones, ideally based on a pre-defined 'template'. A template 'instance' can be edited by the case officer to meet the needs of the specific request. Timetables include: • Deadline for provision of requested information to the case officer • Deadline for circulating the draft response for comment / approval • Deadline for comments on a draft response • Working deadline (e.g. at Christmas UoE closes so our working deadline is the day before the closure if the statutory deadline falls within the closure period) • Reminders/alerts Records progress against the plan, so that case officers (and request managers) can see (at a glance) the progress against the 'plan'.	D
2.4	Creates, sends and captures correspondence (internal and external) using a bank of: • Letter and email templates • 'Standard' or template paragraphs • Request data (e.g. applicant record, request short description, request date, statutory deadline) The templates can be managed and updated by an 'administrator' (see section 6 below)	D
2.5	Allows requests to be automatically and manually 'linked' / 'unlinked'. E.g. • Requests from the same applicant • Requests using very similar / identical words/phrases • Initial request, internal review request, appeal investigation	D

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2.6	Has a mechanism for coping with requests where part of the request is taking a 'different route' from the rest and therefore has a different deadline, e.g. where part of a request: • Requires clarification • Involves a fee notice	D
2.7	Has mechanisms for coping with: • Request validation, e.g. for FOI requests has the applicant given a name and a valid address for correspondence; for SARs has the applicant verified their identity • Request withdrawal • Requesting clarification • Fee notice • Extending the statutory deadline for complex or voluminous requests	M
2.8	Has mechanisms to help case officers manage their case load. E.g.: • Work in progress views • Reminders • 'To do' lists • 'Working notes' • Checklists • Workflow	D
2.9	Allows practitioners/business representatives to: • Confirm receipt of request • Be reminded of approaching internal deadlines • Submit requested information (with contextual info/description, meta data, 'concern flags') • Provide a summary of the search they undertook and the results so that we can provide evidence that thorough searches were undertaken • Have an overview of their area's requests and actions • Record an estimate of how long their area spent working on a request	D
2.10	Has a mechanism to: • Allow case officers to screen collated information and apply exemptions in a way that is auditable • Create response enclosures where appropriate redactions and/or annotations have been applied	D
2.11	Has mechanisms to track and record 'back and forth' between case officers, practitioners, other staff and applicants. This particularly important where the request involves collating information from several practitioners both simultaneously and consecutively. • Track queries and their resolution • Track comments on / approval of a draft response	D
2.12	Has mechanisms for case officers to be able to identify and view previous requests which may be relevant to a current request. E.g.: • Request on a similar subject (subject tag) • Request from the same organisation (applicant record) • Request using similar/identical phrases • Response where specific words/phrase was used (free text search) • Response where specific exemption was used • Request where a fee notice was issued • Request where clarification was requested • Request involving a particular department / practitioner • Etc.	D
2.13	Has a mechanism for case officers to identify and 'reuse' information previously disclosed. E.g.: • Number of students requesting counselling in a particular year	D
2.14	Has sophisticated search mechanisms to allow case officers and request managers to identify requests using a combination of different data fields as well as free text searches.	M

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3. REQUEST MONITORING/ OVERSIGHT/ MANAGEMENT		
3.1	Has a mechanism to help request managers supervise 'work in progress' and manage workloads. E.g.: • Actions overdue • Draft responses ready for internal review • Access to the views individual case officers see Ideally using flexible /customisable screens/reports.	D
3.2	Has a mechanism to assign and reassign requests to different case officers.	D
3.3	Has a mechanism for request managers to provide comments on draft responses which are not permanently retained	D
3.4	Has a mechanism to provide regular updates to senior management concerning requests that are awaiting their approval.	D
3.5	Has a mechanism for practitioners / business representatives to be able to run reports for requests dealt with by their area	D
4. INFORMATION SECURITY		
4.1	Practitioners/business areas can view: • Only requests they were asked to contribute to • Only information their area submitted, not information submitted by any other area	M
4.2	Request managers / case officers can flag a request as being particularly sensitive and then only the case officer and request manager working on the request can view the details. An administrator can reassign the request manager.	D
5. BI/MI & STATISTICAL REPORTING		
5.1	Data and metadata creation/assignment is as automated as possible and includes data fields that we need: • 'True' applicant / data subject details (applicant 'record'), and the details of their representative • Request categories/tags • Applicant type (e.g. journalist, campaigner, current/former staff/student, etc.) • Special handling criteria • Request actions • Current status • Response status • If late, reason for a late response • 'Time spent' estimates, by department (and role?) • Fee amount received for processing the request • Review type (administrative, fast track, expert) • Review outcome • Appeal outcome • Etc.	D
5.2	Creates automated and accurate statistical reports required by OSIC. For the requirements see http://itspublicknowledge.info/ScottishPublicAuthorities/StatisticsCollection.aspx	M

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5.3	Creates automated and flexible statistical reports for management purposes, both regular and ad hoc, including: • Monthly report data (by request type) • Number of requests received this month in comparison with the same month last year • Cumulative number of requests received this year to date (and in the previous year for comparison) • Percentage increase in cumulative number compared to previous year • Number of requests which received a final response • Number of requests which received a response on time • Number of requests which received a late response • Percentage of requests responded to on time • Number of late responses requiring circulation which were circulated on time • Number of late responses requiring circulation which were circulated late • Number of late responses that did not require circulation • Number of review requests received • Number of review requests responded to • Percentage of responses requiring circulation • Percentage of responses requiring circulation that were circulated on time • Number of late responses, by reason for being late • Number of requests answered within 5 days, 6-10 days, 11-15 days, 16-20 days etc. • Time spent on requests, by department • Etc. Should be able to create reports using any/all data fields.	D
6. ONGOING MAINTENANCE		
6.1	Has mechanisms to update: • Template text (model emails, letter templates, standard paragraphs etc.) • Timetable templates (in addition to our current timetables, timetable for requests where we've sought clarification or requested a fee) • Request 'tags' / metadata fields • Request types • Applicant types • Request statuses	D
6.2	Has mechanisms to add and edit user permissions: • Case officers • Request managers • Practitioners / business representatives • Colleagues asked to comment on / approve draft response • System Administrator	M
6.3	Has a mechanism for deleting request data which: • Gives the administrator the option to retain some request records longer than the usual retention period and record the reason for extended retention (e.g. on going legal action) • Requires administrator confirmation before deleting any request records	D
6.4	Has a mechanism to retain 'anonymised' requests and responses	D
6.5	Capacity to use the solution for managing data protection complaints, internal enquiries, data protection breaches, etc.	D