

UPDATED CASE MANAGEMENT SYSTEM- STATEMENT OF REQUIREMENT

15 NOVEMBER 2024

Timing

New system required to be operational by **31 Mar 25**.

Requirement Summary

The SPA must replace our existing Case Management System (CMS) "CIMA" with a new Commercial Off The Shelf (COTS) system which incorporates and improves on the functionality of the current system.

General background on SPA and its place in the Service Justice System

The Service Prosecuting Authority (SPA) comprises lawyers (a mixture of Service and Civilian) and civilian support staff. Its purpose is to prosecute all cases in the Service Courts (Court Martial, Service Civilian Court, Summary Appeal Court, Court Martial Appeal Court) when personnel commit criminal offences within the Service Jurisdiction.

In terms of process, cases are referred to the SPA by the Service Police or Commanding Officer. The SPA open a prosecution file, and an assessment is made as to whether the case should be prosecuted, referred to a Commanding Officer to deal with or is discontinued altogether. If the matter is prosecuted, a set of prosecution papers is raised and sent out to all stakeholders electronically. Thereafter, the case is managed through the Courts by the Military Court Service in a separate case management system accessible by all relevant parties, while the SPA continue to make updates on CMS.

The case will eventually be heard in a Court Martial Centre, by a Judge Advocate and a lay panel called a Board (equivalent to a jury in the Crown Court). As in a Crown Court, the accused may (or may not) be legally represented.

Broad Statement of Requirement

SPA's requirement is for a digital case management system which can allow us to manage our caseload, and for prosecutors and administrators to be able to perform specific tasks in individual cases (for instance, to determine whether the case should be prosecuted, to raise and send correspondence). There is a further requirement for management staff to be able to assess progress and progression in cases, to generate performance data and statistics, to measure performance and report trends (for example, in the number of cases of a particular type). The system must be intuitive and robust, and it must be compatible with MOD systems (such as MODNet) and meet MOD's Secure By Design and other benchmarks/standards.

1.1 Overall Objectives

A key concern is to ensure any new CMS is simple to use, clear, and with stronger emphasis on: -

- a) Complete visibility of case activity, next steps and deadlines
- b) All case related information in one place
- c) Comprehensive dashboards, case and task views to track casework
- d) Search tools to access relevant cases and documents.
- e) Built-in standard reports library and ad-hoc report creation tools.
- f) Protect sensitive cases with user permissions. Allocate cases and tasks.
- g) Highly visible alerts ensure key dates and actions aren't missed, applying "RAG" codes to assist case officers and administrators manage their caseloads;
- h) All documentation stored and created within case record.
- i) Microsoft integration.
- j) Email and letter templates auto-populated with case data, including case analysis, correspondence and court applications;
- k) User admin tools to maintain own system, access and data.
- l) Separately storing and identifying documentation (e.g. assigning categories to documents),
- m) Generate and populate templates
- n) Generate tasks
- o) Have the ability to handle and utilise CCTV and electronic media in cases upto 2GB in size.
- p) Have the ability to work with large PDF documents (up to 2GB).
- q) Schedule functionality for users to manage their workload

1.2 The problem we need to solve

Simply put, our existing case management system is hosted on a Service Police server, remote from our office, which is due to be decommissioned. It cannot be moved elsewhere. The contractor who designed, built and provided ongoing software maintenance to our existing system is not available to maintain it. Furthermore, it is assessed that due to the complexity and ad-hoc nature of the way the existing system as developed, no other contractor would be in a position to maintain it. Its functionality will terminate on 1 Sep 25, and we must have a replacement system with the functionality described in this SOR in place before then. An earlier go-live date is required due to additional hardware issues that mean that the current resilience of the system cannot be guaranteed.

2.0 SPA - flow of activity

The SPA CMS needs to manage the following type of task / case:

1. Form 3 – A request for advice from Service Police. Case is closed once final response sent.
2. Form 3A – A request for advice from Service Police related to Sexual offending. The case remains open until a referral is received or Police close investigation.

3. Request for Mandatory Consultation from the CJS: Case is closed once final response sent.
4. Case Referral: The CO or Service Police refer a case. Case closed if:
 - SPA decide no further action to be taken (a VRR may mean the case is reopened)
 - SPA decide to refer case to the CO
 - SPA direct the case and the case concludes after Court Martial (an appeal may mean the case is reopened)
 - SPA direct the case and it is discontinued
 - It is agreed that case is more appropriate for the CJS
5. Summary Appeal Referral. An individual appeals the outcome of his or her Summary Hearing. Case closed if
 - SPA decide to contest the appeal and the case proceeds to be heard before the Summary Appeal Court
 - SPA decide not to contest the Appeal and the case is dealt with by a judge alone on that basis.

In general terms, the Service Police investigate offences prior to applying the Evidential Sufficiency Test (EST). During the investigation, the Service Police may consult the SPA on any part of the investigation or referral. The method for that consultation is via a Form 3 (a 3-page incident report). If EST is met, the case is referred either to the Unit or the SPA depending on the offence. If the case is referred to the Unit, it may still be referred by the Unit to the SPA depending on several factors set out in the Manual of Service Law.

The SPA's role is to provide initial legal advice, so when a 'Form 3 incident' is notified to them a senior prosecutor will triage the case and allocate it to the best available team member to manage. An Acknowledgement letter is issued to the Unit to confirm safe receipt of the Form 3 or similar case notification.

SPA's legal advice regarding a case is informed to the Service Police/Unit and recorded on CIMA, additionally any relevant material is also recorded on CIMA.

Cases moving to trial will follow a normal civilian court process and be publicly listed and reported for hearing. Any confidential information (e.g. Special Forces names, events, etc.) may be removed or obscured from a listing for security reasons, as appropriate.

3.0 Benefits

A modern CMS will offer the SPA the benefits listed at 1.1.

4.0 USER NEEDS

4.1 Our Users

There are approximately 50-56 staff at any time. The majority (95%) require regular access to the SPA CMS. The other staff will require occasional access.

The staff of the SPA are broken down into the following roles: -

- Senior Management (Directors, Managing Prosecutors, Rape, Serious Sex Offences and Domestic Abuse Lead, Practice Manager)
- Prosecutors (lawyers)
- Civilian Managers (Project Manager, Training Officer, Office Manager, Listings Manager)
- Paralegals
- Case Administrators (Clerks)
- Registry Staff
- Assistant Prosecuting Officers
- Service Police Liaison Officers
- Prosecution Witness Liaison Unit Staff
- Other staff (Outer Office, Information Manager)

4.0 Requirements

The majority of these requirements will form part of the Minimum Viable Product, while others will be part of Phase 2 development.

4.1 Case Management

Requirement No	Requirement
101	Information on individuals linked to a case, which will then be linked to other cases (for example, the same defendant or a victim linked to other cases.)
102	A workflow system to allow tasks, B/Fs and templates to be generated at each stage, with the user providing prompts to what is required (for example, the user is asked if there is a victim – the answer yes produces tasks related to contacting the victim). Some rules would require data completion before being able to progress to the next stage. Users to be able to view tasks for others unless access is specifically limited.
103	A Workflow system that will limit progress until requirements are met. For example, a case cannot be closed until a prosecutor's report is submitted.
104	Addition of spare fields that can be easily then added to forms by local administrators.
105	Transfers of cases between prosecutors by users. Passing cases or documents to managers or colleagues for approval or checking.
106	Ability to limit access to some cases, or types of cases.
107	An audit trail to record all document access and actions undertaken.
108	Ability to add to and update data fields (i.e. dropdowns) with new information.
109	Ability to record information on individuals that will link to the same individuals when they are recorded in other cases.
110	Receipt of work through web front end.
111	Users to be able to enter key details about an incident or offence on case, such as accused Details, Unit, Charges etc. including multiple offences, defendants.

112	Dashboards for users and teams, showing key information.
113	Dashboard for each case showing key information, including notification if sensitive case, recent comms, outstanding tasks, upcoming hearing date.
114	Ability to input offence details, to record new offences, delete or change offences. For these offences to be generate a charge sheet (from a template).
115	Facility to lock cases, limiting access to specific users.
116	Functionality to generate tasks at specific points based on user interaction.
117	Functionality to allow users to generate templates when required in the process based on user interaction, populating fields with required information.
118	To be able to set custom tasks.
119	Ability to set mandatory fields.
120	Ability to send e-mail, using e-mail template, from recorded contact information.
121	Ability to export data for analysis and MI reporting to visualisation tools (e.g. Power BI).

4.2 Document Working [Letters, Media and PDF Bundles]

Requirement No	Requirement
201	E-mails and MS Word Documents to be generated from within the CMS and recorded with the CMS.
202	SPA able to locally customise templates so they can be generated from within system.
203	Documents to be categorised by type of different categories case types Documents to also be assigned information handling categories (Legal and Professional Privileged, Personal etc.)
204	Users to be able to work on PDF documents from within CMS. This would include splitting documents,
205	Users to be able to search for documents, by name and content and other document information.
206	Users to be able to select multiple documents and to send these via e-mail, recording that these have been sent.
207	Documents to be stored in easy to access views, with view amended via filtering.

4.3 Record Storage

Requirement No	Requirement
301	Server for secure record storage is physically located in the UK.
302	Server instance dedicated to SPA data only.

4.4 Data, Retention and Archive

Requirement No	Requirement
401	Records to be assigned a destruction review date and then for this to be used to review and delete the majority of the record, leaving a skeleton record behind. This will later be deleted. All to follow SPA Retention Policy.
402	Ability to import data from current CMS and a linked access database, with data linked into single joint records.

4.5 External Connections

Requirement No	Requirement
501	E-mails to be assigned to case on receipt or to work basket to be allocated.
502	<p>This CMS is solely for use of the Service Prosecuting Authority (SPA) but must have the ability to receive information from:</p> <ul style="list-style-type: none"> (a) CONNECT-The Service Police Record Management System provided by NEC. (b) CASE CENTRE- A Digital Evidence Management system product provided by Thomson Reuters where, using the Military Court Service as an initial conduit, the SPA can upload their cases from CIMA into Case Centre and thereafter, once set up on Case Centre, can upload additional material directly from their CMS to Case Centre. (c) JPA: To bring in information on individuals entered on the CMS using Service Number. (d) OTHER EXTERNAL SOURCES: documents emailed to SPA Outlook mailboxes or sent hard-copy by post and scanned in.
503	<p>Users (not licenced users) – COs and Service Police - from outside of the SPA should be able to upload documents and other files through a gateway:</p> <ul style="list-style-type: none"> • Updates to current files to be linked to account via reference number • Pre referral advice requests (Form 3) to be tasked to SPLO Mailbox • Pre referral advice requests (Form 3A) to be tasked to duty team • New referrals to be sent to registry or first sight [SPA to decide]

	<ul style="list-style-type: none"> Submitting user to answer required questions.
504	Some of the above may not be required subject to whether a link to CONNECT can be made to allow direct referrals for advice or case referrals.

4.6 Statistics

Requirement No	Requirement
601	The ability to create ad-hoc create reports based on CMS data.
602	The ability for users to access pre-generated reports in a performance hub.

4.7 Support

Requirement No	Requirement
701	Admin and user support available through support portal and phone when required.
702	Support officers, that will have access to case information, to be cleared to SC level and based in United Kingdom.

4.8 Other

Requirement No	Requirement
801	Meet MOD Security and Assurance requirements as listed in JSP604
802	Meet requirements detailed in Supplier Assurance Questionnaire (SAQ) for contract with a High Risk Profile.