



Levy System Requirements Document

 Version 1.0, August 2016

# Contents

[1 Contents 2](#_Toc459966141)

[2 Introduction 5](#_Toc459966142)

[2.1 Background 5](#_Toc459966143)

[3 Project Overview 6](#_Toc459966144)

[3.1 Key Technical Objectives 6](#_Toc459966145)

[3.2 Expectations 6](#_Toc459966146)

[4 Key Requirements 7](#_Toc459966147)

[4.1 System Functionality 7](#_Toc459966148)

[4.2 Server Side Specifications 8](#_Toc459966149)

[4.3 Client Side Specifications 8](#_Toc459966150)

[4.4 Planning and Process 8](#_Toc459966151)

[4.5 Data Management 9](#_Toc459966152)

[4.6 Training & Supporting Documentation 9](#_Toc459966153)

[4.7 Future-proof 10](#_Toc459966154)

[4.8 Ongoing Support and Maintenance 10](#_Toc459966155)

[5 Outlined Technical Requirements 11](#_Toc459966156)

[5.1 The System 11](#_Toc459966157)

[5.1.1 General Requirements 11](#_Toc459966158)

[5.1.2 Authentication 12](#_Toc459966159)

[5.1.3 Data permission and protection 12](#_Toc459966160)

[5.1.4 Taxonomy 12](#_Toc459966161)

[5.1.5 Auditing 13](#_Toc459966162)

[5.1.6 Import of all existing data and material 13](#_Toc459966163)

[5.2 Hosting 13](#_Toc459966164)

[5.3 Users 14](#_Toc459966165)

[5.4 Web-based Levy Returns access for Clients 14](#_Toc459966166)

[5.5 Terms of Use 14](#_Toc459966167)

[5.6 Data Types 14](#_Toc459966168)

[5.6.1 Stakeholders 14](#_Toc459966169)

[5.6.2 Businesses 15](#_Toc459966170)

[5.6.3 Contacts 15](#_Toc459966171)

[5.6.4 Levy Return Data 15](#_Toc459966172)

[5.7 Diarising visits, meetings and enquiries 15](#_Toc459966173)

[5.7.1 Future Types 16](#_Toc459966174)

[5.8 Database / Relationship Requirements 16](#_Toc459966175)

[5.8.1 Cleansing & Archiving 16](#_Toc459966176)

[6 Functional Requirements 17](#_Toc459966177)

[6.1 Core Levy functions 17](#_Toc459966178)

[6.1.1 Pre Audit Activities 17](#_Toc459966179)

[6.1.2 Levy Activity Reporting 17](#_Toc459966180)

[6.1.3 Monthly Visit Lists 18](#_Toc459966181)

[6.1.4 Monthly Visit Notification Letters 18](#_Toc459966182)

[6.2 Post Audit Activities 18](#_Toc459966183)

[6.2.1 Levy Audit Recording 18](#_Toc459966184)

[6.2.2 Levy Audit Reporting 19](#_Toc459966185)

[6.2.3 Levy Invoice Recording 19](#_Toc459966186)

[6.2.4 Requests for Assistance (Internal Contact) 19](#_Toc459966187)

[6.2.5 Request for Assistance Reporting 19](#_Toc459966188)

[6.3 Static Reporting Activities 20](#_Toc459966189)

[6.3.1 Levy Payer Contact Details Reports 20](#_Toc459966190)

[6.3.2 New Payer Details Report 20](#_Toc459966191)

[6.3.3 Trading Levy Payers Status Report 20](#_Toc459966192)

[6.3.4 Credit Control List 21](#_Toc459966193)

[6.3.5 Levy Payers Last Visit Date Report 21](#_Toc459966194)

[6.3.6 Levy Payers Last Levy Payment Date Report 21](#_Toc459966195)

[6.3.7 Levy Payers Payment Frequency Report 21](#_Toc459966196)

[6.3.8 Report of Levy Payers with payments over £x per annum 22](#_Toc459966197)

[6.4 Legal Activities 22](#_Toc459966198)

[6.4.1 Legal Action 22](#_Toc459966199)

[6.4.2 Ongoing Legal Cases Report 22](#_Toc459966200)

[6.4.3 Interpretations Reports 23](#_Toc459966201)

[6.4.4 Finance Clerk 23](#_Toc459966202)

[6.5 Offline access and portability 25](#_Toc459966203)

[6.6 Reporting 25](#_Toc459966204)

[6.7 Integration 26](#_Toc459966205)

[6.7.1 Internal Systems 26](#_Toc459966206)

[6.7.2 Third Party Systems 26](#_Toc459966207)

[7 Project Delivery Overview 27](#_Toc459966208)

[7.1 Project Commencement 27](#_Toc459966209)

[7.2 Requirements Gathering and Scope Confirmation 27](#_Toc459966210)

[7.3 Detailed Delivery Plan 27](#_Toc459966211)

[7.4 Specifications 28](#_Toc459966212)

[7.5 User Acceptance Testing 28](#_Toc459966213)

[8 Your Response 29](#_Toc459966214)

[8.1 Delivery Process 29](#_Toc459966215)

[8.2 Overview of the system 29](#_Toc459966216)

[8.3 Practical Demonstration 29](#_Toc459966217)

[8.4 Clearly detailed user licensing costs 29](#_Toc459966218)

[8.5 Explanation of workflow configuration and user configuration 29](#_Toc459966219)

[8.6 Explanation of records configuration and relationship management 30](#_Toc459966220)

[8.7 Details of ability for internal management and configuration 30](#_Toc459966221)

[8.8 Details of support and maintenance 30](#_Toc459966222)

[8.9 Details of training material delivery 30](#_Toc459966223)

[8.10 Details of integration capabilities 30](#_Toc459966224)

[8.11 Details of the emailing capabilities 31](#_Toc459966225)

[8.12 Details of how data relationships are maintained over time 31](#_Toc459966226)

[8.13 Details of how data is archived, deleted and consequently reported upon 31](#_Toc459966227)

[8.14 Overview of any technical, infrastructure or browser requirements 31](#_Toc459966228)

[8.15 Detailed list of any omissions or assumptions 31](#_Toc459966229)

[9 Face to face presentation 32](#_Toc459966230)

[9.1 Practical demonstration 32](#_Toc459966231)

[9.2 Further explanation of sections 7 and 8 32](#_Toc459966232)

[10 Appendix 1 – List of Future Integration 33](#_Toc459966233)

# Introduction

This document is intended to provide a high level view of the key requirements for the new Seafish Levy system. It is not:

* A complete and/or detailed representation of every requirement for the project
* Prescriptive and may be subject to change

The intention is to provide enough information for you to put forward a recommendation based on the best possible fit for our needs. We fully expect to define the detail within the project itself where it can be based on requirements gathering in-depth planning and use-case development.

It’s important to note that we do not have a preferred system for this project – we are equally at home with open source and commercial offerings, and do not shy away from bespoke development when it can be demonstrated to deliver the right benefits. That said, we are conscious of the frequency of change that a typical Levy system will undergo during its lifetime, and would need to be convinced that any ‘from scratch’ bespoke development was capable of not only adapting and growing with us, but also of being maintained internally by our teams or potentially by other partners in the future.

The system will require integration or direct connection into existing systems that will be detailed further in this document.

We have an implementation deadline of 4th January 2017.

## Background

Levy is collected by Seafish in respect of landings and imports of virtually all of the main species of sea fish consumed in the UK. This levy is exercised on the first-hand sale and is payable at a fixed rate by the purchaser based on the weight of the fish traded. Different species and preparations attract different levy rates. It is a legal requirement for the fishing industry to pay these rates which are set within statutory provisions of the Fisheries Act 1981.

Companies trading in fish complete a form (levy return) detailing their purchases and return it to Seafish by email, post or in person with a cheque or bank transfer for the amount due. The Levy Audit Team visits all these traders in rotation to ensure the information and monies they send in are correct according to their accounted books.

Seafish are looking to launch an internal Levy database to allow them to process the levy returns, produce an audit trail of levy input and include visit management functionality. It is also envisaged that the Levy system will be able to integrate with other systems, to maximise data sharing and reporting functionality.

Due to our nature as a levy-funded industry body, we have absolute requirements to be able to demonstrate the value we provide. The Levy system will be a crucial tool in being able to efficiently manage levy payments, communication and reporting.

# Project Overview

## Key Technical Objectives

The key objectives of this project are to:

* Provide an online presence to allow Levy Returns to be filed and/or completed;
* Provide accounting functionality to the Levy Return data which will be shared with our accounting system;
* Provide a single view of all contact and business information to all of Seafish’s users, both internal and remote;
* Provide extensive reporting and management capabilities of Seafish’s activities, interactions with levy payers, financial information and auditing;
* Provide a system that can integrate with our existing MS Dynamics 2016 CRM system and Sun Infor 10 Finance System as well as other systems in the future, bringing in and sharing back data;
* Provide a system that can be easily modified and grown in the future without requiring extensive re-configuration or development.
* Provide migration of all existing data, both digital and paper;
* Provide flexible security modelling of the system;
* Provide detailed workflows to our specific needs;
* Provide a system that is able to scan paper documentation and use Optical Character Recognition

These objectives can and will be developed further during the project scoping stage once a tender is accepted.

## Expectations

We expect that any solution proposed to us will:

* Easy to use, consistent, intuitive and user friendly
* Have a clearly identified support and maintenance structure;
* Have a clearly identified roadmap for future updates and development;
* Come with the ability to be extended, modified and integrated in the future without reliance on a single company or team;
* Have clearly identified licensing model and defined ownership rights regarding any custom development;
* Come with fully bespoke training manuals and structured training sessions for various levels of staff;
* Come with detailed technical and functional specifications;
* Work with our internal hosting infrastructure, or have a compelling and just reason to be hosted independently.

# Key Requirements

## System Functionality

Seafish are looking for a new Levy system. The proposed solution is required to be:

* Local server based and fully compatible with our current IT infrastructure;
	+ Specifically Microsoft Dynamics CRM 2016 On Premise and Infor 10 (SUN Systems)
* Online and offline capability with a requirement for access to files and information when offline;
* Able to synchronise data to and from the system both automatically and manually;
* Secure and offer a high level of data protection for sensitive data stored in house and/or UK server based;
* Able to plan, manage and automate levy visit schedules;
* Case management inbuilt including template automation for chasing monies from levy payers;
* Calculate and identify under and over payments, balance totals and any payment abnormalities;
* Able to automatically integrate, process and translate third party (raw) data using an online platform. These will be in form of HMRC Customs data;
* Able to scan, attach and store documentation locally into the system from multiple formats and to include OCR (suggestion – MS Share Point);
* Flexible enough at time of configuration to allow for customisation to Seafish’s exact requirements;
* System design mechanism that incorporates notifications, alerts and reminders;
* Adaptable enough to allow changes to that configuration in the future;
* Able to be delivered against future requirements;
* Able to deliver continued return on investment through an identifiable development roadmap as well as additional modules and features;
* API driven system to allow Levy payers to submit Levy returns and information online

Seafish relies heavily on its existing Levy Returns system and has legal obligation to have an auditable, process driven and financially accurate system to carry-out its work.

It is envisaged that, due to the project timeframe and the on-going support requirements (detailed below), an off-the-shelf solution would be most suitable; however we are open to any potential solution that delivers against the requirements, and every proposal will be judged according to its relative merits.

The solution should also be adaptable enough to allow for multiple points of integration with existing and new systems, not all of which will be hosted close to, or built on the same software stack as, the new Levy system. We have detailed our known integration requirements later in this document.

Emphasis needs to be made on our existing CRM and Accounting systems. Either direct integration into our systems or active bidirectional communication. This project will not create a disconnected or on-way flow of data within the business.

## Server Side Specifications

*Please note, the list below is by no means exhaustive. We plan to migrate to MS Windows Server 2016 (and other MS server software) within the next 18 months.*

* MS Dynamics CRM 2016 (on premise IFD)
	+ ClickDimensions for emailing
* PCA Predict Capture+ (formally Postcode Anywhere)
* MS ADFS v2 + Proxy
* Infor 10 (SUN Systems)
	+ Remote Desktop Services, Inc. RemoteApp
* MS Windows Server 2012 R2 and above
* MS Direct Access (MS Windows 2008 R2)
* SQL Server 2012 and above
* MS Exchange 2010 and above

## Client Side Specifications

*Please note, the list below is by no means exhaustive. We are planning to migrate systems to MS Windows 10 within the next 18 months.*

* MS Windows 7 Enterprise edition and Windows 10
* Remote Desktop Services, Inc. RemoteApp
* MS Direct Access (MS Windows 2008 R2)
* MS Office 2010 and above
* MS Outlook 2010 and above
* Internet Explorer v10,v11 and Edge
* UI compatibility for use on laptops, tablets and mobile phones

## Planning and Process

Whilst our current processes – those being replaced by the new Levy system – are well known, we are fully accepting that it is inefficient and often detrimental to be too specific with requirements at this stage. With that in mind, we are looking to source a system that is as adaptable as possible to our current and future needs, and a supplier who can demonstrate the in-depth knowledge of their proposed solution required to ensure the best possible deployment, backed up by a project process that means we’ll be able to work collaboratively to research, define and agree the final requirements and deliverables.

We **do not** see this project as an ‘out of the box’ delivery, and your response should allow for adequate requirements gathering and confirmation of scope.

## Data Management

As a non-departmental public body (as well as a responsible organisation), we have an obligation to ensure that the data we collect and store on our partners, stakeholders and contacts is done so according to legislation and best practice.

With that in mind, any solution you propose **must** be compliant with UK data protection laws. We would require you to confirm the rule and regulations that would be applicable in this instance, but generally speaking we would expect that:

* All data collected and stored is done so on servers based in the United Kingdom;
* All data processed, analysed or shared in any way with any system does not leave the boundaries of the United Kingdom, directly or by an intermediary partner;
* The system(s) proposed have been subjected to robust, current and proven penetration and security testing to minimise as much as possible the risk of intrusion;

A great amount of emphasis is required when it comes to Terms of Use for the contact data we’re collecting. We need to be able to display evidence when dealing with Stakeholders, specifically external communications like mailshotting.

## Training & Supporting Documentation

At an absolute minimum, we require:

* Full project documentation, including database and entity relationship diagrams;
* Full training manual, bespoke to the project configuration;
* Full training manual, bespoke for the end user which must include bespoke training video;
* Full on-site training at our Grimsby and Edinburgh offices for multiple end users;
* Full on-site training at our Grimsby offices for a ‘train the trainer’ session;
* Full on-site technical overview, training and handover for our IS team;
* Detailed functional and technical specifications detailing the configuration of the project deliverables.

It is envisaged that typical day to day maintenance and modifications (such as editing forms and adding new fields to levy records) will be carried out by our internal IS team; as such, the relevant training and documentation is essential to ensure that such work is possible without putting the solution at risk.

## Future-proof

To us, future-proofing takes two key forms:

1. The ability for any system we invest in to adapt and change without requiring a fundamental re-write. In the context of a Levy system, this would include:
	1. Adding additional reporting capabilities
	2. Adding and changing the fields and data stored against a record
	3. Being able to integrate with external data sources and systems in the future
	4. Being able to add new record types and relationships
	5. Flexibility to add other modules that will rely on the core Levy system.
	6. Integrated API system for cross-system communications
2. The ability to maintain the system internally and/or with a partner other than those who delivered the project for us. This is purely to ensure that we are not dependent on a single supplier.

Any system you propose should be able to demonstrate how the above requirements can be met.

## Ongoing Support and Maintenance

As part for this tender process we expect a minimum of 12 months support and maintenance for the delivered system.

This will need to include:

* Support on software upgrades and patches throughout the period
* Further customisation to existing systems, which are deemed not to be additional functionality
* Support with work flow, GUI and reporting systems
* Technical advice to the IT team

# Outlined Technical Requirements

## The System

The new Levy system will replace a largely disconnected set of systems built in tools such as Excel and Access; inefficient at the best of times but made more so by the fact that Seafish are spread across multiple offices and have many team members who work remote quite often.

As this is a digitisation of existing processes, it’s important that – whilst logical and efficient process changes will be accepted – the underlying concepts and way of working that we currently use do not change: Any proposed solution should be adaptable to specific workflows rather than dictating data organisation and user journeys.

We have invested heavily in our internal infrastructure and would prefer a system that can be hosted within our Grimsby office; however we are open to alternative suggestions where the benefits are clearly demonstrated.

We have detailed each of our key functional requirements below.

### General Requirements

The following general requirements should be considered:

* Adhere to and follow set processes of our existing CRM platform
	+ Business and contact details
	+ Auditing
	+ Entity control
	+ Soft and hard deletion
* The ability to archive information without deletion, to allow for a clean ‘live’ dataset whilst maintaining historical reporting and data access;
* The ability to maintain versions of records, with auditing, workflow and roll-back as appropriate;
* The ability to record activity against individual users for auditing and process;
* The ability to accurately control data access, workflow and editorial control based on user permissions, as fed from Active Directory (SSO)
* Carry-out Business processes and workflows
* The ability to process financial information and upload information into Infor 10 (SUN Systems)
* Automated Levy Return processing via website
* The ability to allow API driven levy returns for larger scaling Levy Returns

### Authentication

We maintain an Active Directory server, and any solution should integrate completely with this, allowing users to authenticate against their central details (SSO). It is envisaged that Active Directory will also maintain user permissions and active status.

### Data permission and protection

We require the clear separation (DMZ) between the web presence for Levy Return forms & bulk Levy Returns API, and the actual Levy system which could utilise our existing ADFS system. The proposed system will include:

* Secure socket layer (SSL) certification with encryption for any data transmissions;
* Scheduled daily data backup functionality;
* High level of data protection for sensitive data stored in house and/or UK server based;
* Safety mechanisms in built prohibiting hard delete of data by the levy team;
* Ability to archive information and soft delete data to maintain historical records and reporting functionality;
* Ability to import and export dynamic work sheets and files securely;

### Taxonomy

Taxonomy will play a large part in our new Levy system, allowing us to accurately categorise and organise our data. We require the system to utilise the pre-existing taxonomy within our CRM system. Additional taxonomy for the Levy system may be required which should be reflected within CRM.

Such taxonomy should also then be available within any reports that the Levy/CRM system can produce, allowing us to continuously adapt and improve our categorisation and data segmentation as the Levy system develops.

Below is an example list of areas that will require this facility, but this is by no means an exhaustive list:

* Levy payer;
* Business type (e.g. fishmonger, wholesaler or processor);
* Sub-business type (based around site);
* Payment type (underpayments/schedules);
* Document type;
* Payment bands (visits/payment frequency);
* Legal action tracker;
* Visit reports;
* Seafish or Levy region (geographical) categories;

### Auditing

With the new levy system there is a key requirement to be able to perform a range of auditing activities. Below is an example list of areas that will require this facility, but this is by no means an exhaustive list:

The system is required to:

* Add/remove and audit levy team user activity;
* Interrogate levy payers in the system, identify data relations and gather information to associate businesses;
* Interrogate information held within the Seafish CRM system e.g. business records and be able to flag new business records and notify the levy team;
* Versioning control for saved templates and attached documents;
* Create an audit trail history for payments received and outstanding monies;

### Import of all existing data and material

All data from the pre-existing system will need to be processed and imported into the new proposed system and needs to form part of the project proposal.

Existing paper-based material will be required to be scanned/OCR to allow connection to corresponding Levy Return record for specific companies. With the majority of documents being MS Excel printed worksheets.

Other data documents/files are required to be attached to records to allow for extra auditing information to be available to users. These will need to be checked for malicious content.

Life cycle management functionality for documents e.g. automatic transferal, retention and destruction periods would also be useful to include.

## Hosting

Whilst we would prefer an internally hosted system, we are open to recommendations around cloud-based solutions. We are equally open to subscription-based models.

For each option you intend to propose, we would require a clear demonstration of how your solution would deal with connectivity outages, SLAs, upgrades, custom development, the ability to refuse upgrades to new versions (when proposing a SaaS model), and support & maintenance.

A staging environment will be required for pre and post deployment of the system. This is to ensure that future developments can be tested without potentially corrupting the main system. This will allow modules to be designed, tested, used and upgraded.

## Users

We currently have around 10 users including system administrators who would require access to the system at any given time. This could change moderately over time, and we would prefer a system that allowed us maximum flexibility over our user licensing.

## Web-based Levy Returns access for Clients

A key element to the new system will require accessibility for our client to fill-in Levy return information online. This will require both an on-line form by way of a secure web portal and also a secure API driven system to allow bulk communication between client systems and the Levy system.

The web portal will require a simple yet secure way for clients to register via verification to use the facility. This will allow for the form-based data to be transferred through to the new system. At this point it will be ready verification, approval and authorisation.

A bulk API system will allow clients to use a pre-designed format to upload their information into the system in a secure manor. This should include things like: secure keys or tokens, pre-known field & data formats and should allow for file transfer. Any data files transferred into the system will need to be checked for malicious content.

## Terms of Use

A close relationship needs to be kept between opting in and out of elements of Seafish material and should be closely connected to the existing CRM system.

## Data Types

The new Levy system is intended to work in conjunction with our CRM system. Below are examples of the data types used. This list is not exhaustive and we would expect to confirm all requirements around data and relationships with the successful supplier through a process of requirements gathering and definition.

### Stakeholders

Anyone we interact with could be an individual, organisation and/or business. “Stakeholder” is the generic term we use for capturing all our external interactions/relations.

### Businesses

Businesses we support within the industry can vary from individual fishermen through to multi-site, multinational corporations. They can also include trade and industry representative associations, government departments and agencies, newspapers/newspaper groups etc. They may be UK or internationally based. They will contain typical information: address (es), contact details etc., as well as data specific to Seafish. The data we collect about a business will change over time.

We store business hierarchical information as well as multiple site locations.

### Contacts

Contacts are wide reaching, classed as individuals in any capacity. They can be attached to a business or stakeholder as an employee or associated third party (such as a marketing agent from a third party agency who is the primary contact for a business we support); they could be the details of an individual who has logged an enquiry with us but is not yet associated with, or identified as, belonging to a business. Can be singular or repeat contacts.

The breadth of our contact database will only ever grow, and your proposed system must be able to demonstrate how new fields and relationships can be maintained to allow this growth, and deliver reporting capabilities accordingly.

### Levy Return Data

This will be specific data captured or stored for each Levy Return held for each company within the system. This will have the following characteristics:

* Structured Levy Return information which will include financial data
* Scanned and OCR material stored in an appropriate format within the system
* Additional data files provided by clients to add extra information about the Levy Return

## Diarising visits, meetings and enquiries

We require the Levy system to be the central repository for Levy specific information. Our existing CRM system should be the central repository for diarising visits, meetings, enquiries (cases) and other such interactions. The whole business needs the ability to track/trace interactions between members of the Levy team and our stakeholders.

They Levy system will require bidirectional communication or full integration with MS Dynamics CRM 2016 On-Premise, as well as MS Exchange/Outlook and provide a seamless experience for our users.

### Future Types

Whilst not required for this development, we would foresee the following additional record types being included in the future. Please note, these may or may not be developed as external systems, but the data produced will need to be reported on within the levy system regardless.

* Project Management Records
* Internal Management and Reporting System

## Database / Relationship Requirements

The existing CRM contains our main contact lists for the business. These are to be kept up to date at all times by any new system that is implemented within Seafish.

Ideally the Levy system should be directly connected with our existing CRM platform. Though this may not be the ideal solution, great care must be used to allow relationships with our platforms.

### Cleansing & Archiving

During the lifecycle of the auditing data, we will require the ability to cleanse and archive data after a certain number of years. This should also include the ability to move large portions of data from the database(s) to an archive location in a usable format. This will allow old data to be accessible but will reduce the burden of its storage within a database.

# Functional Requirements

## Core Levy functions

These are details produced to help explain the work of the Levy Auditors and the Finance Clerk. This is not exhaustive and only depicts the current processes of the existing system.

The processes and workflows will require alteration to allow better integration into the existing CRM system and the new Levy system.

### Pre Audit Activities

In line with the business process there are a number of pre-audit activities that any new solution will be required to support.

The Pre Audit activities to be supported are discussed below.

### Levy Activity Reporting

An auditor needs to be able to generate a report of audit activity against selected payers based on selected criteria.

Two versions of this report are available in the existing system, and both need to be supported in the replacement solution.

The first report shows information based on a date range and payer no (or all levy payers). This report is currently implemented as the ‘Between Two Dates’ report.

The second report selects only information produced since the last audit and is based on the payer no. This report is currently implemented as the ‘Since Last Audit’ report.

Both replacement reports should have the same format and must show:

* Contact and standing information details of the Levy Payer
* Details of the last audit visit and associated comments
* Payment profile of levy payers
* Customs details from the previous two years
* Review process information
* Invoice trail details
* Levy Payment details

### Monthly Visit Lists

Auditors need to be able to generate dynamic lists showing which Levy Payers are due for visits, based on their last visit date.

It should be possible to produce this information in hard copy format, and should also be shareable to others, possibly in soft copy format.

Additional users who may be interested in this report include the Finance Director.

The report should include the contact details each Levy Payer.

### Monthly Visit Notification Letters

It is a requirement to be able to produce letters of notification to be sent to all Levy Payers included on a proposed monthly visit list. This letter will be in a standard agreed format and should include:

* The Name and Address of the Levy Payer
* The Title, Initials and Surname of the Contact
* The Month for which an audit is proposed

## Post Audit Activities

The Post Audit activities to be supported should include:

### Levy Audit Recording

An Auditor requires a method of recording any important information that has been gathered during an Audit visit to a Levy Payer. This information may include:

* Changes to Levy Payer Information (e.g. Name, Address, Contact, Payment Frequency)
* Date and Time of Visit
* Audit Completion Status
* Period Checked dates
* Any Levy Payments made vs. those due, showing overpayments and underpayments if appropriate.
* Comments (general and levy audit specific)

### Levy Audit Reporting

An Auditor requires a method of producing a report of Levy Audit Visit activity for selected areas and audit dates.

This report should summarise the details of the Audit Record entry.

### Levy Invoice Recording

Where an Invoice is encountered as part of an audit trail by a Levy Auditor this needs to be recorded. The information to be recorded will include:

* The details of the Levy Payer that issued the invoice
* The details of the Levy Payer that received the invoice (the purchaser)
* The details of the invoice (product, weight, amount, levy paid, total)

This report should summarise the Levy Invoice records and be available in hardcopy format.

The details in this report are also included at the pre audit stage in the Levy Activity Reports.

### Requests for Assistance (Internal Contact)

A Levy Auditor requires the ability to log and track requests for assistance by or from other Seafish individuals where the need is identified by the Audit or some other process. The information to be recorded will include:

* The Auditor making the log entry
* The Levy Payer to whom the request is related.
* The Seafish Individual requesting or providing assistance (name and department)
* The date the contact was made
* The details of the request

### Request for Assistance Reporting

There is also a requirement for the ability to report on the Requests for Assistance that have been logged during a specified date range and auditor area. This report should summarise the Requests for Assistance records and be available in hardcopy format.

Users who may be interested in this report include Levy Auditors and the Levy Manager.

## Static Reporting Activities

Various other reports are also required, these are as follows.

### Levy Payer Contact Details Reports

There are a number of Levy Payer Details reports that are required, each should show Name, Address, Contact, Phone etc. and be selectable by Auditor Area or all areas.

Versions of this report will be sorted to show:

* All Levy Payers in alphabetical order
* Trading Levy Payers in alphabetical order
* Trading Levy Payers in Area order
* All Levy Payers in Post Code order
* Trading Levy Payers in Post Code order
* All Levy Payers in Payer No order

### New Payer Details Report

A further requirement is to provide a report detailing all new Levy Payers, this report should show:

* Name
* Address Details
* Contact Details
* Phone etc.
* Information
* Date of First Contact

### Trading Levy Payers Status Report

A report is required to show the next visit date of all Levy Payers at trading status, this report should show:

* Payer No
* Name
* Whether Levy was collected
* Date of the next visit

### Credit Control List

Although Auditors do not take a direct role in the Credit Control process (see the Levy Collector Requirements for more details) it is a requirement that where a Levy Auditor identifies that Levy is payable this information is available to the Credit Control process and that subsequent activity relating to the Levy Payment is made available to the Auditor.

This should include the ability to run the report used by the Levy Clerk at the start of each month, detailing the names of Levy Payers to be sent letters as part of the Credit Control scheme.

### Levy Payers Last Visit Date Report

A report is required showing the last visit date for each Levy Payer in a selected auditor area, or all areas. This report should be sorted ascending based on the number of days since the last visit, and will show:

* The Name of the Levy Payer
* The date of the last visit
* The number of days since the last visit
* The date when the next visit is due

### Levy Payers Last Levy Payment Date Report

A report is required showing the last Levy Payment date for each Levy Payer in a selected auditor area, or all areas. This report should be sorted ascending based on the number of days since the last Levy Payment, and will show:

* The Name of the Levy Payer
* The date of the last Levy Payment
* The Payment Frequency Category
* The number of days since the last payment

### Levy Payers Payment Frequency Report

A report is required showing the payment frequency for each Levy Payer. This report should be sorted ascending based on the payment frequency category and the number of days since the last payment, and will show:

* The Name of the Levy Payer
* The date of the last payment
* The Payment Frequency Category
* The number of days since the last payment

### Report of Levy Payers with payments over £x per annum

A report is required showing the details of all Levy Payers that made payments totalling £x or more in the previous year. This report should show:

* The Name of the Levy Payer
* The Levy Payer’s annual payment for the previous year
* The Payment Frequency Category
* The date of the last payment
* The number of days outstanding
* An average number of days outstanding for all Levy Payers shown

## Legal Activities

The Legal Activities to be supported stem from the levy payment activities of each levy payer. Failure to satisfy the legal requirements for levy payments can lead to legal action against the Levy Payer. Whether legal action is taken is dependent on the response of the Levy Payer to issued payment reminders, as part of the credit control process (see the Levy Clerk requirements).

### Legal Action

As a result of failure to respond to issued payment reminders the Levy Payer will most likely be subject to legal action.

Levy auditors must have the ability to record this; furthermore, this information must be made available to other users of the central CRM system.

There is a requirement to provide two specific Legal Activity reports, these are detailed below.

### Ongoing Legal Cases Report

It is a requirement to provide a report of all Levy Payers against whom legal action is being pursued. This report should show:

* The Payer No and Name
* Dates at which Solicitors and Debt Collectors were involved
* Reference for related correspondence
* The next important date
* Further information related to the case

### Interpretations Reports

It is a requirement to support the recording of questions and answers regarding the interpretations that should be applied to specific product weights, coding’s and legal issues. These are usually only accessible by Levy Auditors.

### Finance Clerk

Daily processing

**Pre-input** – Collect all levy returns and enter any missing payer nos., dates, etc.

Prior to processing, each levy return is checked for miscalculations, and corrected manually on the page, in order that any over/under payments which appear when inputting can be easily identified.

Levy returns are initialled and date-stamped.

**Input**

‘Levy Return Payments’ – for input of levy returns.

Enter: payer number

 period from & period to dates

 code (preset – according to group/category)

 weight (per code)

 cash received amount.

Any over/under payments will appear in the appropriate space after the cash received amount has been entered, and the choice of ‘Action’ – Y or N – determines whether the over/under amount will appear on the ‘Levy Daily Action’ list (this is produced with the ‘Day End’ list).

‘Levy Adjustments’ – for amendment of previously input levy returns (any date).

Enter: payer number

 date of entry of original levy return

 period from date of original levy return.

Details appear on screen, with ‘Amend’ button. Click on ‘Amend’. This effectively cancels the original levy return, as it is now on the system as a ‘minus’ version of the original, and the levy return with the correct details must now be input (as ‘Levy Return Payments’ above).

‘Clear Over Payments’ – for clearing any overpayment by the levy payer.

Enter: payer number

 amount of overpayment to be cleared (for which an invoice has been raised in Ledgers)

 send cheque – Y (if refunding to levy payer)

 N (if writing off, i.e. roundings, withheld commission).

‘Clear Under Payments’ – for clearing any underpayment by levy payer.

Enter: payer number

 amount of underpayment to be cleared (for which a cheque has been received from payer, unless roundings write off)

 send cheque – Y (if cheque received)

 N (if writing off roundings).

End of daily levy input.

**Create daybook/dayend**

‘Print Daybook’ – creates daybook of all entries for the day.

‘Dayend Routine’ – creates Levy Day End (summary of all entries for input to Sun Ledgers)

 Daily Action List (list of all over/under payments this day)

 Daily Payments Due (list of all cleared overpayments now to be refunded).

Send underpayment letter to levy payer(s), if required.

Raise invoice(s) for refund of levy overpayment, if required.

Report to have ability to be spooled to archive.

Monthly processing

On the last working day of each month, after daily input.

‘Month End Routine’ – creates Monthly Balances (monthly coding summary, similar to Day End)

Ledger Contol Summary (total of levy received for current financial year)

Monthly overs/unders (total of over/under payments for current financial year).

Report to have ability to be spooled to archive.

File Maintenance

‘File Maintenance’ – to amend/correct any: levy payer information (details, payer frequency, etc.) levy system information (levy rates, codes, auditor details, etc.).

**OTHER REPORTS PRODUCED BY FINANCE OFFICER**

Daily

Report of cumulative levy cash received compared to budget estimate.

Report of levy cash received compared to previous 2 years at same date.

Monthly

Report of top 100 payers (@ last financial year end) inc. latest payment received, period covered, no. of days in arrears.

Report of monthly cash received split between levy categories.

## Offline access and portability

There is a key requirement for the system to be capable of working offline and allow users to view, create and update records while away from the office.

In addition, other important factors that will need consideration for system offline functionality include:

* The event of system failure (e.g. mobile network disruption and backup process)
* User set views and system preferences are retained when using any device
* System to be completely portable and independent from server functions and can be completely decoupled from the network, yet retain security, functionality and reliability
* Secure synchronisation method of relaying information from device back to the system using an automated process with the option to manually override
* The ability to prepare and export data for offline use
* Functionality to store and display Levy transaction details, including changes, errors, and updates while offline

## Reporting

The new levy system should be capable of delivering both pre-defined and bespoke reports, ideally on any type of data held within the system. Using a wizard based front end that is intuitive and simple to use, with both spreadsheet and graphical reports generated quickly. The system is required to include hard and soft reporting functionality e.g. customizable dashboards, print-out views, work sheets, auditor reports and region reports. The ability to generate exception reports e.g. changes in payments due is also required in the reporting functionality. Creating and exporting process/flow diagrams using system data is preferred for the new levy system design.

Such views are essential to provide us with the capability to keep an eye on efficiency, reactivity and ultimately accountability.

**Reporting is a key part of ensuring we can demonstrate the value we return to the industry, and is therefore a major consideration regarding the choice of the new levy solution.**

**Current reports that are required include:**

* **Levy debtors report**
* **Quarterly levy dashboard for ARC**
* **Monthly levy report**
* **Levy trends report**
* **Payment frequency checker**

A key part of the levy debtor reporting is the ability to estimate amounts due on any given date. This will mean referring to previous levy amounts received and estimate the amount due at the specified date. It is necessary for the system to refer to last payment date before the specified date and the date that the levy was paid up to. If payments have been made after the specified date, relating to pre the specified date, then the system needs to be able to calculate the amounts due based on the actual returns.

## Integration

### Internal Systems

Seafish expect at an absolute minimum for the new levy system to integrate with:

* Microsoft Dynamics CRM 2016 (On-Premise & IFD)
* Infor 10 (SUN Systems)
* Microsoft Outlook 2010

### Third Party Systems

Seafish maintain, or are in the process of commissioning, several external systems all of which will play a vital role in our overall service offering. Our ideal is that in time some of these systems could be delivered directly within the new levy solution, although none are in the scope of this initial project.

To that end any system which cannot easily be integrated with other systems will score poorly against those which make such connectivity possible. For clarity and further guidance, we have included an overview of our currently planned integration of systems in Appendix 1.

Regardless of these systems being potentially developed within this project, there will always be the requirement be able to integrate other systems into the new levy system. Sometimes, it will simply be to provide a click-out from the new levy to another system, which may include some level of single sign-on or shared authentication. Other times, it could be that the new levy captures information from, or shares it with, a third party system, either LIVE or on a timed basis.

The exact requirements are not known and will always be subject to change as Seafish brings new systems and services online to react to the needs of our partners and stakeholders. It’s therefore essential that any levy system we put in place is as flexible as possible when it comes to integrating and sharing information with other systems.

Regarding this requirement, we are open to any method which is secure, robust and capable of maintaining data integrity: Systems which can be extended in a modular fashion (and for which integration modules are widely available or easily created) would be ideal; a standards-based API would allow similar flexibility. We are also open to such practices as direct database connectivity if said solution can be demonstrated to be secure and reliable.

# Project Delivery Overview

Within your tender please produce a detailed project delivery timetable with particular emphasis on the below sections. Seafish require an implementation date of 4th January 2017 at the latest. Tenders that cannot meet this deadline will be downgraded on assessment as per the selection and awarding criteria.

## Project Commencement

Likely to consist of detailed meetings and discussions to confirm high level requirements and full scope of project. Any questions Seafish or the contractors have following the tender process, timeline, roles and responsibilities will be addressed.

We would like to confirm a high level scope, and any resulting cost, scope or time amendments required based on that, as quickly as possible regarding this project. Unless our requirements fundamentally change, we do not expect there to be any change of cost, scope or time from your submitted proposal.

## Requirements Gathering and Scope Confirmation

We understand that the detail around our requirements is missing from this document – this is intentional as we would very much look to the successful supplier to guide us on best practise in terms of working methods, data relationship management and ultimately the exact configuration of the chosen levy solution.

With that in mind, we require extensive requirements gathering and analysis take place through research and user workshops to ensure that our requirements are fully understood, enabling a detailed and suitable scope to be put together.

## Detailed Delivery Plan

We have a firm deadline for the delivery of this project no later than 4th January 2017.

Because of the time pressures of this project, we would require a detailed project timeline be maintained, capturing not just your development time but also the requirements on our time. Given the sometimes busy schedules our staff maintain, it’s vital that we know when our time will be required for meetings, review and feedback; and that we always have an up to date timeline from which we can report and monitor progress.

## Specifications

We will require both functional and technical specifications for this project, as well as technical and user training manuals written specifically for our configuration.

The specifications are intended for us to agree that configuration before the commencement of build, and to test against once build has been delivered back to us; the technical specification is intended to capture the specifics around that configuration so that we may support the system in the future without dependence on any one supplier.

## User Acceptance Testing

We believe in thorough and frequent testing, and will make available to you the resources to conduct testing at any time within the project. At the very least, we would expect to conduct extensive user acceptance testing following the completion of development and configuration, but we would also like to test throughout the project if possible.

# Your Response

In putting your response together, we would like you to demonstrate your response to the below. Please note that these requirements are in addition to any requirements from our tender documentation as a whole.

## Delivery Process

Details of expectations are stated in section 7.

## Overview of the system

Please provide an overview of your proposed solution, including heritage, current usage and USPs compared with other solutions in reference to our requirement.

## Practical Demonstration

Whilst it is not expected that you provide a demonstration bespoke to our requirements, it would be beneficial for us to receive a demonstration of the system you intend to deliver and how configuration and options can be tailored to suit our requirements. This can be in the form of an in-person demonstration, or a video – we are flexible on this matter.

## Clearly detailed user licensing costs

Where you are proposing a solution with per-seat cost, we require a detailed breakdown of how such costs accumulate, and where there are opportunities to reduce such costs, for example through bulk purchasing.

In all circumstances, please explicitly detail any user limitations and associated costs, including if accounts such as developer and admin accounts are included in such limitations; please also confirm if any access to staging or development environments provided as part of your solution are included in the total user count.

## Explanation of workflow configuration and user configuration

Given the nature of our user requirements, especially around the potential for partner access and auditing, we would like to see how your proposed solution can offer us flexible workflow, data access and editorial rules.

Please confirm that your solution can work solidly with Active Directory, and list any assumptions or limitations.

## Explanation of records configuration and relationship management

Please explain how your proposed solution creates, manages and deals with updates to record types. We would like to see how different record types can be inter-linked, and how such linking can be monitored, edited and adapted as our requirements change in the future.

Of significant interest here is the work involved in adding new fields and relationships, as well as the impact of such an action.

## Details of ability for internal management and configuration

Linked with the above, please explain the level to which changes and updates can be managed internally, and to what level a typical deployment of your solution might require on-going support and maintenance.

## Details of support and maintenance

Please detail your suggested (or required) support and maintenance package for this contract, bearing in mind that we require at least 12 months suitable support. Please detail the on-going costs of any licensing for updates, the potential cost (if any) of applying those updates, and if the software you propose is available to us only on a licensed basis.

## Details of training material delivery

Please detail the level and range of training material along with delivery mechanisms; ranging from bespoke installation, train-the-trainer, through to frontline users.

## Details of integration capabilities

Please detail the ability for your proposed solution to integrate with other systems, and the limitations and assumptions around this. Of particular interest is if your solution comes with cost-effective (or free) modular plugins to allow integration with other systems, or a standards-based API, or if integration is only possible through expensive, proprietary development or software purchase.

## Details of the emailing capabilities

Please detail the capabilities of your solution to send and monitor emails, reporting on the user activities to those emails such as bounce detection, open and read reporting, and click-throughs. Please highlight the process through which a user may set up an email campaign, from content creation to list selection and sending, and the reporting available on the back of that activity.

## Details of how data relationships are maintained over time

Please detail how your proposed solution deals with an organic dataset, where (for example) contacts may include enquiries and other records on our system spanning multiple years and several businesses.

## Details of how data is archived, deleted and consequently reported upon

Please detail how your solution deals with archiving data, and what happens to any reports, figures or larger datasets that include data which is consequently archived or permanently deleted for any reason (intentionally).

## Overview of any technical, infrastructure or browser requirements

If your solution has any specific requirements, such as a browser plugin or incompatibility with certain operating systems, please list them.

## Detailed list of any omissions or assumptions

Against our listed requirements, please detail any assumptions you have made as to the depth of that requirement and any areas that you know you cannot deliver against. Such examples will often lie around aged data handling, Outlook integration and third party integration, where it is simply not always possible to deliver everything we request.

By understanding up-front the potential pitfalls and limitations of any solution, we can be sure to weigh them up properly against the benefits of that system to ensure that we ultimately settle on the best possible solution for our needs.

# Face to face presentation

Seafish will invite the highest scoring tenders to a face to face presentation. These will take place week commencing 3rd October 2016. Seafish would like presentations to cover the following.

## Practical demonstration

Whilst it is not expected that you provide a demonstration bespoke to our requirements, it would be beneficial for us to receive a demonstration of the system you intend to deliver and how configuration and options can be tailored to suit our requirements. This can be in the form of a demonstration system, or a video – we are flexible on this matter.

## Further explanation of sections 7 and 8

Each tender applicant invited for a face to face will be expected to present a summation of the criteria given in section 7 and 8 of this document. Face to face’s will last a minimum of 1 hour with the format being decided by the applicant. The Seafish scoring panel will also take this opportunity to ask questions, both clarifying the tender response and on the presentation.

# Appendix 1 – List of Future Integration

*Note: This is not a finished or a definitive list; although this does show the expected systems at this current time.*

* Project Management (Additional out-of-scope projects – but need to be aware)
	+ Using SharePoint – to be built in/around CRM
	+ Link contacts/businesses to projects
	+ Document Repository
* Information Asset Management System (Additional out-of-scope projects – but need to be aware)
	+ Policies and procedures
	+ Managed body of information
	+ Sensitive and confidential data records
* Internal Reporting System (Additional out-of-scope projects – but need to be aware)
	+ Unify forming filling
	+ Automated monthly and quarterly reports
	+ Pull information/data from all systems in to clear, easy to read format