

## 1. CAREDIRECTOR SOFTWARE AS A SERVICE (SAAS) BY CAREWORKS

CareDirector is a comprehensive health and social care patient case management system. It is an enterprise grade, modular system used by health and social care organisations to manage their electronic patient recording needs. The solution comprises case recording, business intelligence, finance and numerous specialist modules in an integrated care platform.

## 2. ABOUT CAREWORKS

CareWorks is a multi-national software company that has, since 1997, specialised in the design and development of information systems for health and social care in the United Kingdom and internationally.

CareWorks solutions are used by a variety of organisations that provide services to patients and people in need. Our customers include national health providers (such as the Health Services Executive in the Republic of Ireland and Leeds & York Partnership Customer); State Agencies for Ageing (such as New York State, USA); NHS Customers (such as Staffordshire & Stoke on Trent Partnership Customer in the UK) and Local Authorities (such as Dorset County Council and Coventry City Council).

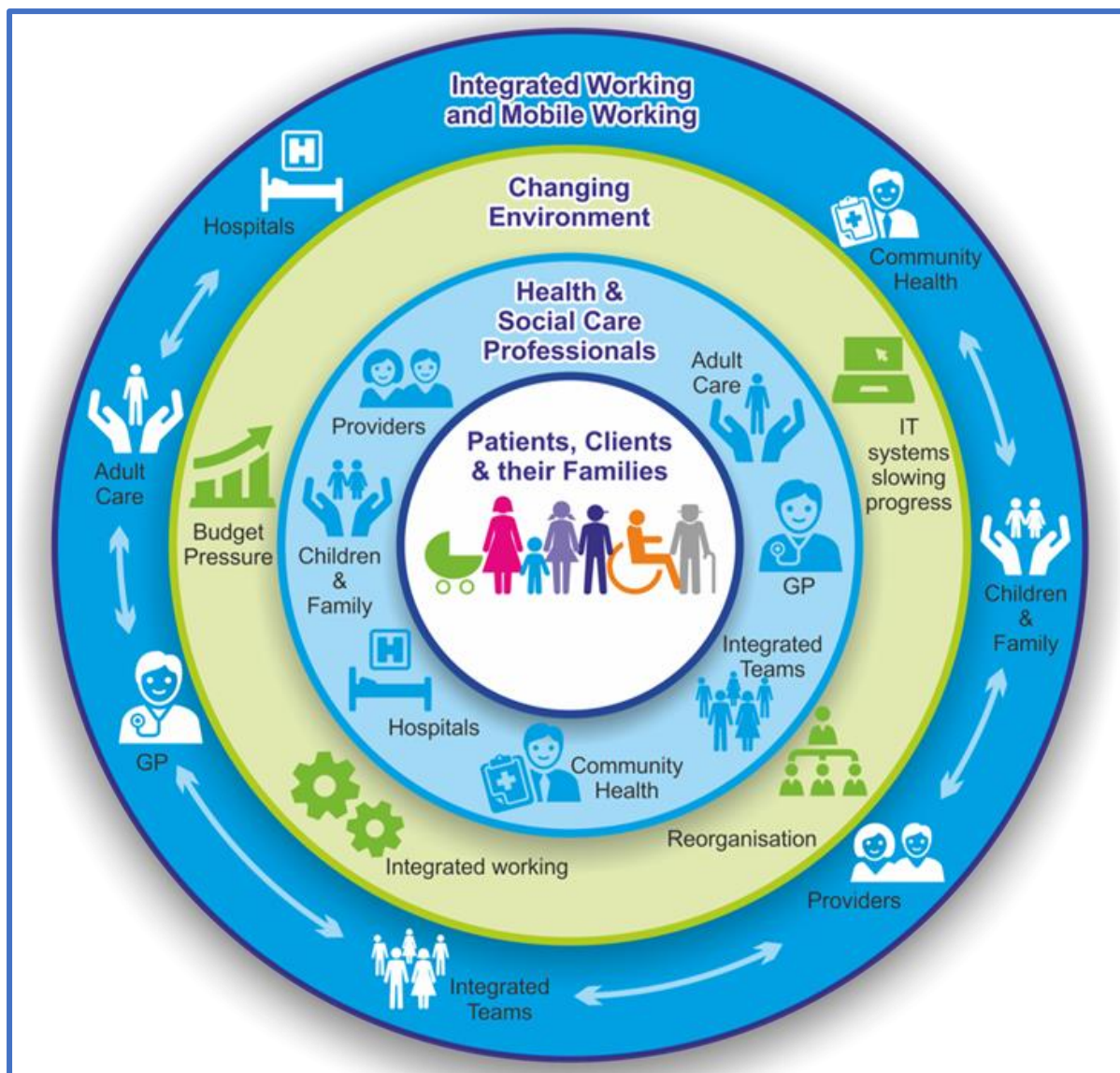
Our solutions are used to support the delivery of the following services:

- Community Health Services
- Mental Health Services
- Social Care

Today, CareWorks solutions are in live operational use by over one hundred health and social care organisations in four countries.

## 3. PRODUCTS

Since 1997, CareWorks has developed three generations of client/patient management systems. Our current solution is called CareDirector and is based primarily on Microsoft technologies. A demonstration is available at: <http://www.careworks.co.uk>.



**Supporting an Integrated Health and Social Care System**

CareDirector® delivers joined up Health and Social Care in a single Community solution. The U.K. Government has clearly stated its desire to provide more joined up services to patients and clients whose needs span health and social care. There is also a desire to support patients and clients to remain in their own homes and communities where possible.

CareDirector® supports better working across Health and Social Care by ensuring that information follows the patient or client. CareDirector® will enable Health or Social Care professionals, wherever they are, to have access to all relevant information about a person, on their computer, laptop, tablet or smartphone, so they can make well informed decisions. CareDirector® will flexibly support future organisational change. There is increasing pressure on Health and Social Care services because of an ageing population and budget cuts across the United Kingdom.

We expect that contracts under this Framework will be delivered in an environment where there may well be large scale organisational change across current legislative boundaries. There will certainly be changes to the way in which health and social care services are delivered, care pathways and models of care.

We anticipate change but don't yet know what that change will bring.

That is why we're offering a solution with the flexibility to allow:

- Information sharing, business process or reporting practices to be changed quickly and easily with minimal change to the software solution as configured
- Internal organisational structure to be modified by systems administrators. If two organisations using CareDirector merge, the system can be reconfigured to reflect that new structure efficiently and without needing a re-implementation of the software

### **A solution that facilitates Integrated Working across your health region**

The CareDirector® solution delivers a fully functional Community Health solution on a single, integrated platform. Customers can avail of either or both (community health and mental health) solutions, safe in the knowledge that the core system architecture is consistent across both functional areas of the product.

However, in addition, CareDirector® is also capable supporting integrated working and the co-ordination of cases across services- including social care.

It is available on the range of modern devices (PCs, laptops, tablets and smartphones) that professionals want to use both in and out of the office today.

CareDirector® is flexible enough to bring together the care pathways and case management models in use nationally, whilst also offering local flexibility.

Flexible workflow tools ensure that the activities and services across multiple processes are properly sequenced and delivered.

Information is presented in real-time through charts and dashboards that allow users to take informed decisions that positively impact outcomes for clients and patients.

Client and patient summary screens bring together a single view of a person to enable teams of people to work together.

Underpinning the solution is a powerful security model which ensures that data, whether local, regional or national is shared only with those who should be able to access it.

**Supporting future organisational change**

Of one thing we can be certain – change will happen, and it will probably happen dramatically and quickly. CareDirector® facilitates change better than other IT systems. CareDirector® is unique in that its organisational structure can be modified by systems administrators after the system is in live operation. Organisational units can be merged and demerged to reflect new models of service delivery so that the IT system supports, not impedes, the process of change.

**Supporting flexible and mobile working**

The solution provides full mobile-working and can be deployed on a range of devices addressing three categories of need:

- **Working anywhere there is a data network and a desk** - because it is a modern, web-based application, CareDirector® offers the ability to access the full system in real time from within the main office, a satellite office, home and on the move, in any location with wireless access. This is achieved using a browser over the Web and is typically done on a laptop style device.
- **Working anywhere there is a desk** this is the ability to access the full system whilst offline, typically from home, a remote location, or at a satellite office with no network connection. Full system offline working is achieved using Microsoft Outlook operating on laptop type devices.
- **Working anywhere** this is the ability to work on or offline with specifically designed mobile solutions. Features are tailored specifically to suit the job role they are going to complete. This is achieved using 'apps' deployed on tablet and smartphone style devices.

**CareDirector® Deployment Approach**

We have successfully used our Implementation Approach with numerous health and local government customers, and we have found that this structured methodology helps reassure and demonstrate to customers that the project timelines will be achieved.

Qualified Project Management and Consultancy Professionals are available to assist with your local implementation at the day rates provided.

**Project Initiation**

The CareWorks Project Manager and Senior Responsible Owner will attend a Project Kick-Off event on site with the Customer project team. We will then work together on project planning, agree a communications plan and schedule an architecture assessment.

**Technical Installation and Configuration**

CareWorks undertake an architecture assessment to size the technical infrastructure in line with the user base and environments required. This considers data growth over the period of the contract to future proof the deployment.

**Software Installation**

CareWorks implementation engineers will install and configure the hardware and software to typically support a range of environments depending on your needs.

**Data pre-population and Migration**

As default CareDirector will be installed with a template configuration to allow configuration activity to commence in line with the project plan. CareWorks propose five trial migrations prior to the final migration into the Live environment.

**Interface Development**

CareDirector offers full integration to all systems within the organisation. This ease of integration with existing systems is achieved through CareDirector's Service Orientated Architecture. CareWorks will work with the customer to specify details of the integration requirements in the project scope and will configure the required web services.

**Process Redesign**

Once the environment is setup with core data from the first trial data migration, CareWorks will run project team "Fundamentals" training. These will facilitate Business Process activity to agree required configuration for business processes to be utilised in the go live environment. We will work with key customer project team members to support the identification of optimised processes to ensure maximum effectiveness can be achieved using CareDirector.

CareWorks will also ensure that customer staff are trained in the system administration elements of the application. This means the Customer will be able to continue to implement business changes and their associated configuration post implementation.

**Training and Knowledge Transfer**

CareWorks typically proposes the use of a 'Train the Trainer' approach although other approaches are also available. This will combine CareWorks detailed knowledge of CareDirector with the specific business process expertise of trainers from the customer. It will ensure that training capability and expertise remains within the project. CareWorks are happy to discuss options of undertaking end user training on the customer's behalf if required.

### Cutover Plan and Implementation Support

CareWorks' customers have a primary support contact assigned to them at the point when the application moves from the project phase into live mode. The primary support contact and the CareWorks implementation manager will be responsible for the transition into BAU support. CareWorks methodology includes the ability to switch to a specific go live plan to ensure appropriate resources are assigned and that there is a shared understanding of responsibility throughout go live activity. This go live plan can also act as an activity checklist as it breaks down expected actions to hourly durations. It has been defined to lower risk and maximise control over the go live process.

CareWorks typically undertake one final data migration pass at the point of go-live. During this process, the legacy system is typically switched to a read-only version. Where possible, this is undertaken during a weekend period to minimise impact.

### Data Catch Up Support

Any post migration activity required to augment data within the system post a final migration will be identified and risk assessed prior to the final migration. As part of go live implementation support CareWorks will work with the customers project staff to ensure data quality is to an agreed standard and there is a clear path for any required data amendment.

### Post Implementation Support

Following successful go-live of the application a lessons learned review will be completed. The Customer will then move into BAU mode and be supported by CareWorks Service Desk.

A more detailed description of the proposed deployment approach can be found in our '*Project Delivery*' section responses.

### Support Levels

CareWorks provide a comprehensive support service in line with the requirements of our enterprise grade customers, many of whom are government organisations.

CareWorks operate an ITIL standard support service with both online and telephone support underpinned by automated helpdesk system and associated procedures.

CareWorks offer a range of support levels as follows:

Support Level	Cost
Standard Business Hours (9am-5pm)	As per Pricing Schedule
Extended Business Hours (7am-7pm)	On Request
24 x 7x 365 Hours (24 hour)	On Request



CareWorks provide a technical account manager as part of the standard support offering. They are responsible for acting as the primary contact for all account management and support related issues.

**Getting Started- How we Help Users Start Using our Service**

We help users to get started by providing them with access to a series of video tutorials which show them 'how to' complete the common tasks using the system.

We provide user manuals and product documentation.

Online and Onsite training are also available for a fee.

Data migration, business-process consultancy, configuration, customisation, project management and technical set-up services are all available at the standard day rates.

Interested parties should contact the lead contact at CareWorks. The lead contact will assist with on-boarding, drawing up of contracts and setting up the service.

**End-of-Contract Data Extraction- How Users Extract their Data when the Contract Ends**

As part of the contract we could agree an exit strategy and plan. That would describe an agreed set of chargeable services which we would provide to extract data for transfer to the customer in a suitable format.

**Data Export Approach- How Users Export their Data**

Subject to security permissions, a user can easily export data from CareDirector to Excel. A data export button is embedded into screens with a list of data. Lists of records are created by ad-hoc searches, views and reports. This means that users can create their own data views using our simple to use interface, add or remove columns from those views and save views for reuse later. Each time a view is reused, the latest information is displayed and can be exported to Excel using the ribbon bar button.

**Independence of Resources- How We Guarantee Users aren't Affected by the Demand Other Users are Placing on the Service**

CareDirector is built on a platform that provides enterprise levels of scalability and performance. With virtualisation, multi-tenancy and hosting options, organisations can maximize hardware utilization and increase their capability to deliver superior application performance and scalability while simultaneously reducing costs.

CareDirector is designed to meet enterprise performance and scalability requirements and can be cost-effectively optimized and tuned using readily available resources and tools. CareDirector is built on the powerful and scalable Microsoft SQL Server platform. Microsoft customers are using Microsoft SQL Server today in multi-thousand user deployments and expanding those deployments to include tens of thousands of users.

**Guaranteed Availability**

CareDirector can be configured to support up to 99.999% availability. The CareDirector Application servers can be arranged in a high availability Network Load Balanced Cluster. If one of the CareDirector Application servers fails, then the load will automatically be taken up by the remaining application server. The CareDirector database servers also support high availability options including SQL Active/Passive or Always-On availability groups.

**PAUL – Add a comment on SLA compensation**

**Approach to Resilience**

The CareDirector Application servers can be arranged in a high availability Network Load Balanced Cluster. If one of the CareDirector Application servers fails, then the load will automatically be taken up by the remaining application server. The CareDirector database servers also support high availability options including SQL Active/Passive or Always-On availability groups.

Data centre Disaster Recovery options are also available with failover to an alternative site. You can set up automated backups for your SQL Server VMs and a manual backup function is also available.

**Outage Reporting**

The Careworks Event management procedure outlines that standardized procedure for handling of Events through the recording, classification, action definition and implementation and closure of activities. Events can be generated by means of email alarms. The event is logged on the Service Desk and reported to the customer through the Service Desk.

**Incident Management Approach**

All cases are formally recorded on the Service Desk. Incidents are managed as per CareWorks documented Incident Management process which adheres to the ITIL V3 Framework. The Incident Management process is applied to every incident regardless of what channel it was received through or time of day. The Service Desk incident supports all three recommended ITIL metrics: Impact, Urgency, Priority.

How calls are logged:

- Alerts
- E-mail
- Phone
- Web Portal



A portal allows customers to view relevant information, track the progress of individual incidents, track the support performance during a period and communicate with the team.

### **Access Restrictions in Management Interfaces and Support Channels**

CareDirector provides a comprehensive and granular level of security adopting a role-based security model. Roles can be created for different groups of staff or individual users.

The main components of the Role Based Security are:

- Business Units
- Teams
- Security Roles
- Users

Once added to the system, a user is assigned to a business unit and must provide a user name and password before access is granted. One or more security roles are added to each user which govern access to the management interface and modules within. Staff can be grouped into Teams and security roles assigned at the Team level.

### **Configuration and Change Management Approach**

A change management and configure plans would be created. The remote management software implemented by Careworks and Azure contains a configuration management database. This allows an audit of changes of the components throughout their lifetime. This includes asset tracking and auditing. All changes are managed and agreed using standard ITIL change management processes and a change control board. All changes are peer reviewed to ensure are assessed for potential security impacts and other impacts.

### **Protective Monitoring Approach**

Careworks use remote monitoring software and Azure monitor to monitor all components and services. The azure security monitor and Careworks monitoring can identify potential compromises. These potential compromises will be logged as incidents and managed using incident management and change management processes. The severity of the potential compromise will be determined rating against risk, and this will determine the severity rating of the incident. This will dictate using SLAs the response time on the incident.

### **Incident Management Type**

Careworks confirm to ITIL v3 framework. Incident Management is a key process in CareWorks. The process outlines the principals on how to respond to incidents whether they are created from a Service Desk ticket, an alert received from a Managed Service or a hosted platform and subsequently logged to the Service Desk. The Incident Management process details the incident identification, classification and steps to respond to progress the incident to problem management or to closure of the incident.

### Information Security Policies and Processes

Careworks follow a remote Access Security policy that define the rules on how assets or networks are used by employees. A Change Management Policy that defines the formal policy for applying changes to a system. A security incident response Policy to deal with security related events. An acceptable use and email guidance policy. A Data security policy that outlines rules around physical security, system security, data security and internet security. Policies are reviewed each 6 months. Reporting is performed on a monthly basis to the CTO except where incidents occur which require immediate reporting.

### Vulnerability Management Approach

Vulnerabilities are assessed according to the CareWorks patching policy. Patch contents include critical updates, Security updates, rollups and third-party updates. New updates are checked and updated once per week. Zero-day critical patches will be installed immediately when required. For network device and other hardware firmware, to ensure that devices are running established and publicly available firmware versions, checks are made with vendors at once month intervals. Firmware updates are applied as per manufacturer recommendations. A case is raised on the Service Desk with an associated priority if a vulnerability is identified. CareWorks also contract a third party to perform Penetration Testing on a yearly basis against the entire environment including network nodes, devices and full penetration testing against the application. A report is compiled identifying risks and potential impact of vulnerabilities with remediation options.

### Service Levels

Service Levels Management Liquidlogic will monitor system performance levels to ensure that service level agreements (SLAs) are met. The same information will be available to customers via the Jira call monitoring systems so that service level management is a transparent and open process.

Performance and Capacity Management Performance and Capacity Management are regular functions undertaken by Liquidlogic to ensure that the infrastructure on which the service is provided is fit for purpose, is appropriately scaled and provides a highly performant solution.

Availability The standard availability SLA for Liquidlogic Social Care Case Management is 99.9% for core service hours of 09:00 – 17:00 on Monday to Friday (excluding bank holidays) and 99% for non-core service hours. Alternative SLAs can be agreed following dialogue with customers

Severity Definitions Typical severity definitions are given below:

- Priority Level
- Priority Description
- 1 Blocker Live System Down

The application failure affects all users. 2 Critical Major fault affecting a significant number of users, or a critical business process.

The application failure affects a large number of users. 3 Major Serious fault affecting a small number of users, or a single critical incident.

The application failure affects a small number of users. 4 Minor Non-serious fault affecting a significant number of users.

5 Trivial Non-serious fault affecting a small number of users

Please see the Service desk policy in Schedule 2 of the Supplier Terms and Conditions document.

Service Definition: G-Cloud 10: Liquidlogic Social Care Case Management System

### **Financial Recompense Model**

#### **Service Availability**

The availability of the System will be measured using the following formula:

$$\left( \frac{\text{Service Cover Time} - (\text{All Downtime} - (\text{Authorised Downtime} + \text{Authority Responsible Downtime}))}{\text{Service Cover Time}} \right) \times 100$$

Where:

Service Cover Time (SCT) is as defined below:

Service Cover Time Managed Service Service Request Logging Remedial Support Services

08:00 to 18:00 Monday to Friday Excluding English Public Holidays

24 hours a day including weekends and English Public Holidays for SRs logged via the Web-based reporting facility

09:00 to 17:00 Monday to Friday excluding English Public Holidays for SRs logged by Telephone

09:00 to 17:00 Monday to Friday Excluding English Public Holidays

All Downtime means time during the SCT when the Service is inoperable or not capable of fulfilling its function, for any reason.

Authorised Downtime means time for which the Contractor has obtained prior approval from the Authority for the suspension of the Service for maintenance work or testing.

Authority Responsible Downtime means time during which the inoperability of the Service or incapability of the Service to fulfil its function is caused by faults on hardware or Software for which the Contractor does not have responsibility, such as local communications failure. The above percentage will measure the availability of the service over each quarterly period commencing on the date of the commencement of the Services, for which Contract Charges have been paid.

For the avoidance of doubt availability shall be measured at the point of connection between the Contractor's network and the Authority's Local Area Network

The system availability payment driver will be based on 15% of a quarter of the managed service charge and shall be applied as detailed in the table below;

System Availability Achieved % of a quarter of the managed service charge to be credited  
 99.75% to 100% 0% 99.50% to 99.74% 0.5% 99.25% to 99.49% 1% 99% to 99.24% 2% 98% to 98.99% 3%

Service Definition: G-Cloud 10: Liquidlogic Social Care Case Management System

97% to 97.99% 6% 96% to 96.99% 10% 95.99% or below 15%

The service request resolution times payment driver will be based on 15% of a quarter of the managed service charge.

Service Request Resolution times will be measured as the percentage of service requests initially accepted by both parties as Priority 1 or Priority 2 that are resolved within the target resolution times specified.

The target shall be 100% and for each 1% achieved below this target, a quarter of the managed service charge shall be reduced by 0.5% up to a maximum of 15%.

Service Credits for failure to meet Incident Response and Resolution Service Levels Liquidlogic expects to agree a regime of service credits (i.e. a credit to be applied to the next available service charge) for failure to achieve Incident Response and Incident Resolution service levels. The level of the service credit/s will depend upon the severity of the incident and will apply to any/all module/s affected. Any failures are discussed, documented and agreed at the service management meetings between Liquidlogic and the customer.

Service Credits for failure to meet Availability Service Levels Similarly, LiquidLogic expects to agree to a regime of service credits which apply should we fail to achieve the agreed Availability service level/s. These work on a “sliding scale” basis, so that the longer the period of unavailability (excluding planned downtime) then the greater the service credit applied

### **Training**

Training can be provided using any combination of the following approaches:

- End User Training
- Train the Trainer’ Training
- Blended and/or E-Learning

Training packages are designed for individual customer organisations and vary according to the capacity and requirements of the individual organisation. Liquidlogic provides extensive, electronic training materials and course outlines which cover all aspects of the systems to be deployed.

Service Definition: G-Cloud 10: Liquidlogic Social Care Case Management System

### **Ordering and Invoicing Process**

Standard subscription term is 36 months. That is, initial subscription will be for a minimum of 36 months, with subsequent contract renewals provided on a 12-month basis unless varied by negotiation.

CareWorks shall invoice the Customer, on the Effective Date for the Subscription Fees payable in respect of the Initial Subscription Term; and on each anniversary of the Effective Date for the Subscription Fees payable in respect of the next Renewal Period.

### **Termination Rights**

CareWorks offers its customers termination rights in line with industry standards, such as the customer’s right to terminate should the supplier be in material default, commit a material and irremediable breach of the contract, be insolvent or in default of Protection of Personal Data, Confidentiality or the Security Policy and so on. Our policy is in line with standard government provisions.

In addition to this, customers have rights to terminate for convenience after an agreed minimum date/time, provided that an agreed notice period is adhered to, and agreed termination payments are made.

**Customer Responsibilities**

The Customer shall:

- Provide CareWorks with all necessary access to such information as may be required by CareWorks, in order to provide the Services, including but not limited to Customer Data, security access information and configuration services
- Conduct Acceptance Tests and other acceptance procedures in a timely manner
- Ensure that the Authorised Users use the Services and the Documentation in accordance with the terms and conditions of the service subscription agreement
- Obtain and shall maintain all necessary licences, consents, and permissions necessary for CareWorks, its contractors and agents to perform their obligations under the service subscription agreement, including without limitation the Services
- Ensure that its network and systems comply with the relevant specifications provided by CareWorks from time to time
- Be solely responsible for procuring and maintaining its network connections and telecommunications links from its systems to CareWorks chosen data centres, unless otherwise agreed between the parties

**Trial Services Available**

Trial service is available through dialogue with the supplier.