E-enablement of the Common Assessment Framework

eCAF Requirements Catalogue

Version 1.0

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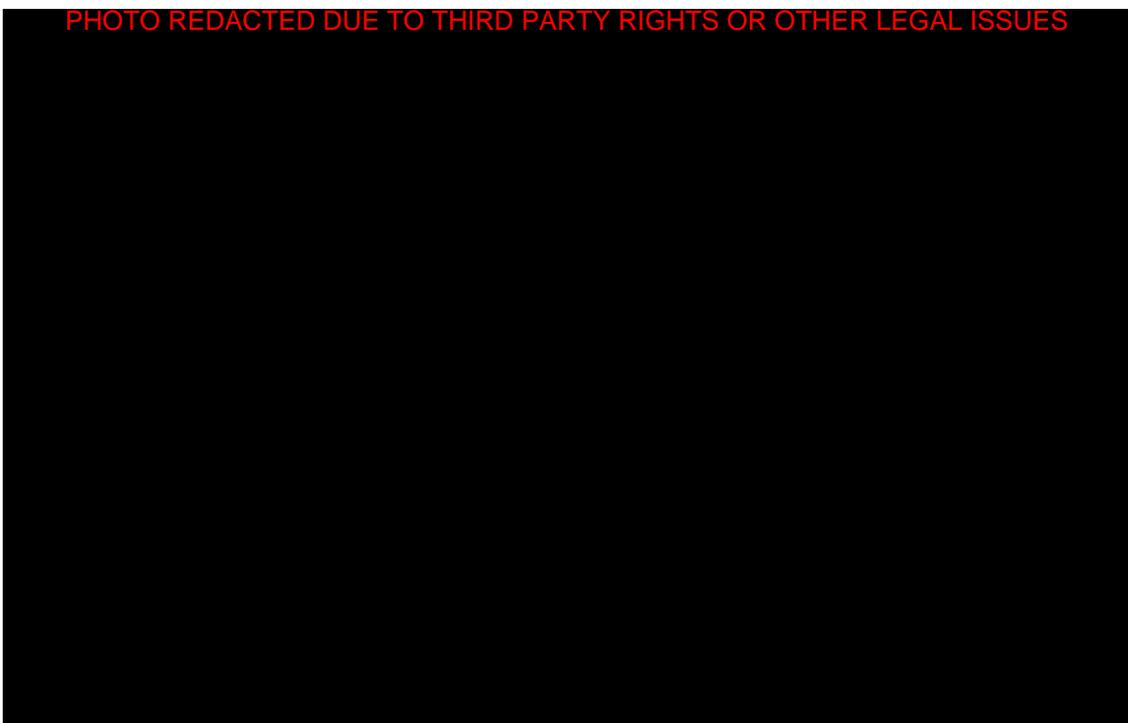
Every Child Matters
Change For Children

Document Control

Revision History

Issue date	Version	Summary of Changes
8/6/6	1.0	Initial publication

Purpose of this Document

The purpose of this document is to collect, analyse, and define the requirements of an IT system to e-enabling the Common Assessment Framework (*CAF*). In terms of functionality, it focuses on the 'what', not the 'how'.

Contents

1. eCAF Documentation Reader's Guide

1.1 Diagram

The diagram below shows the documents in the set, and each one is briefly described in the following text.
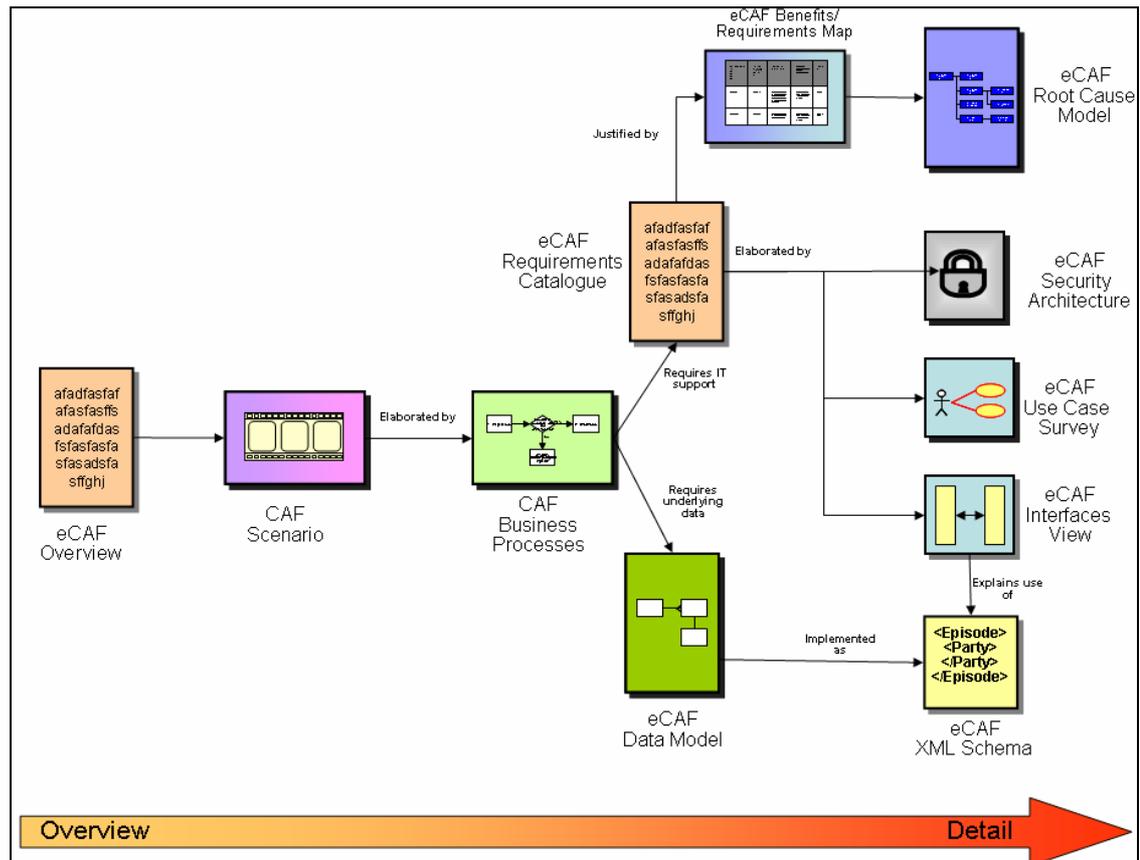
1.2 Description of documents

- **eCAF Overview** – Essential starting point and executive summary. Introduces the other documents in the set.

- **The CAF Scenario** – This document walks through a "story", showing an example of how the CAF Business Processes might work in practice. Useful for all readers, to gain a basic familiarity with CAF process.

- **The CAF Business Processes** – This document describes the people and business activities that are required to complete a Common Assessment and the subsequent actions arising out of that Assessment. It also indicates where IT support from an eCAF system will assist these activities.

- **The Requirements Catalogue** – This document defines what system support is required by practitioners using the Common Assessment Framework (CAF). It contains categorised listings of functional and non-functional requirements.

- **The Security Architecture** – This document defines in more detail the security requirements for an eCAF system. This is a critical aspect, and thus worthy of specific consideration.

- **The Use Case Survey** – This document presents the requirements as Unified Modelling Language (UML) Use Case diagrams. This may be useful for more technical readers, for example to inform the Inception and Elaboration stages of a Rational Unified Process (RUP) development project.

- **The Interfaces View** – This document provides more information about the interfacing requirements for an eCAF system. Interfacing is important but potentially complex, so this document provides additional guidance.

- **The Data Model** – This document contains a high-level diagram of the information that will be required in the context of CAF. It provides a more detailed view of information requirements in the form of an Entity Relationship Diagram that defines the essential eCAF data items and their relationships. It also includes a set of Data Classifications which summarise the types of data used in CAF, such as Name and Contact Details.   It provides standard names and definitions that will be used by an eCAF system.

- **The XML Schema** – This is a technical schema specification (plus example xml file), providing a standard representation of the Data Model as an XML (GovTalk) message. XML is a widely accepted data format used for information exchange between systems.

- **The Root Cause Model** – This document describes the root causes of the main issues which prevent the delivery of the targeted outcomes of the 'Every Child Matters: Change for Children' Programme (relevant to initial assessments). It states both the business challenges faced (the issues and their root causes) and the business need to be addressed.

- **The Benefits/Requirements Map –** This document provides the linkage between the root causes eCAF looks to address and the solution components (requirements) designed to address them.

2. Introduction

2.1 Purpose

This document provides the catalogue of Requirements for an eCAF system. It describes exactly "what" an eCAF system needs to achieve, without being drawn into the internal details of "how" it does this.

The document's scope is limited to the core business functionality of eCAF. It does not attempt to define the wider infrastructure in which an eCAF system will sit. It will be important to monitor the progress of other Every Child Matters project (such as the IS Index) for infrastructure requirements and to maintain compatibility as they develop.

Two main audiences are envisaged for this document:

- **Business Managers responsible for eCAF implementation**
  The requirements listed below are intended for detailed discussions with system developers and/or for selecting a packaged eCAF system. They will also be useful for acceptance testing the delivered solution.

- **Technical Managers and System Developers**
  These requirements are the starting point for development of an eCAF system.
  This document gives a business-focused overview, and a more structured view for developers is provided in the "eCAF Use Case Survey". (The Use Case Survey uses standard UML Use Case notation).
  Note that the Requirements and Use Cases contained here correspond approximately to the "Inception" phase of the Rational Unified Process (RUP). Further "Elaboration" will be needed as part of detailed system design to specify exactly "how" the requirements will be implemented.

2.2 Structure Of The Document

The rest of this document is structured as a progression from overview to detail:

- **Section 3 is a high-level overview.**

- **Sections 4 and 5 deal with the <u>functional</u> requirements**

  Functional requirements are tangible pieces of business functionality which users can "see".

  Starting from the overview, Section 4 breaks the functionality down into "Use Cases". A Use Case is a "chunk" of functionality which corresponds, as the name suggests, to a specific example of "using" of the system.

  Section 5 adds the final level of detail, with a complete alphabetical list of Use Cases - including individual functional requirements within each one.

- **Section 6 deals with <u>non-functional</u> requirements**

Non-functional requirements are the underlying qualities that the system must possess. They are what make the difference between a desktop spreadsheet and a resiliently hosted enterprise solution.

Again, the emphasis here is on "what not how". For example, the requirements state that the system must be recoverable within an agreed timeframe but do not mandate, at this level, what that timeframe should be.

- **Section 7 deals with <u>Case Management Systems</u>**

It is important to maintain a clear distinction between the central, Local Authority-based eCAF system, and the facilities available within Case Management Systems (CMS). This section explains more about this, and describes the options for more closely integrating CMS with eCAF. (Note that this section is provisional and may evolve as the full picture of Every Child Matters systems – including the IS Index – continues to develop)

2.3 Relationship with other documents

This Requirements Catalogue is in many ways a central document, providing the bridge between Business Requirements and IT Design. Therefore this section briefly signposts some of the linkages that are available:

2.3.1 Business documents

<u>Business Processes</u>
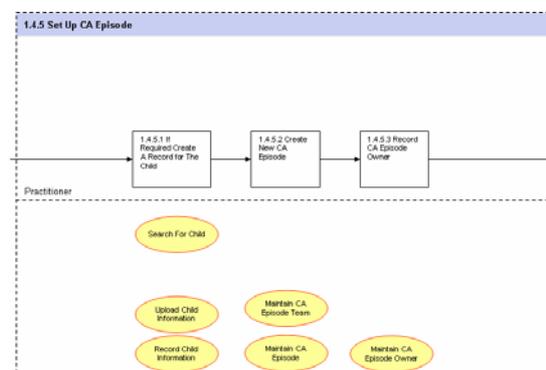
The diagrams in the **"eCAF Business Processes"** use yellow circles to indicate where IT Use Cases support the process. The details of each Use Case can be looked up in the alphabetical list later in this document.

eCAF Scenario
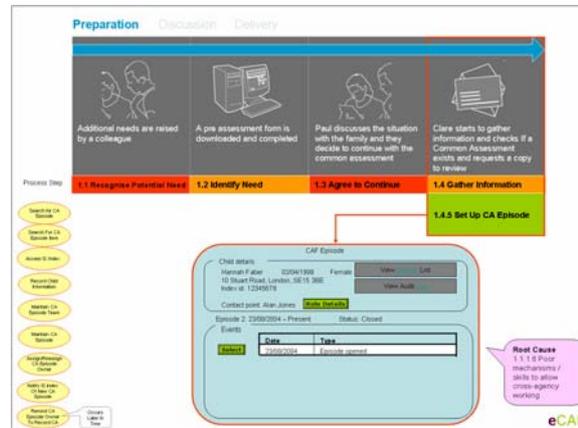
In a similar way, the eCAF scenario uses yellow circles to indicate where IT supports the process.

Root Cause Model
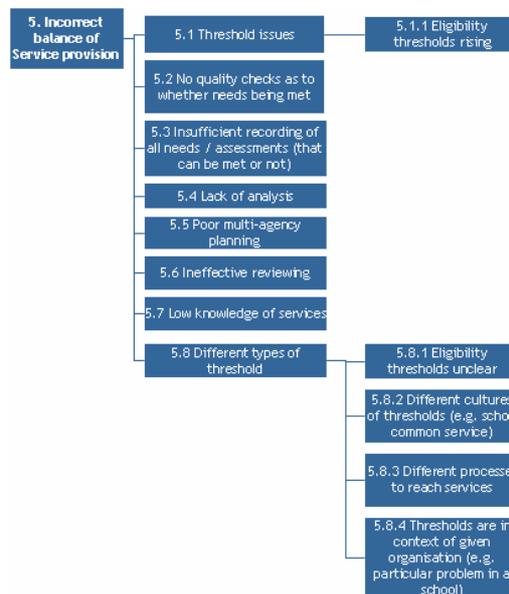
The "**Benefits Requirements Map**" shows how the Use Cases help to solve the Root Causes of the business issues identified. This explains the business justification for the requirements.

2.3.2 Technical documents

Use Case Survey
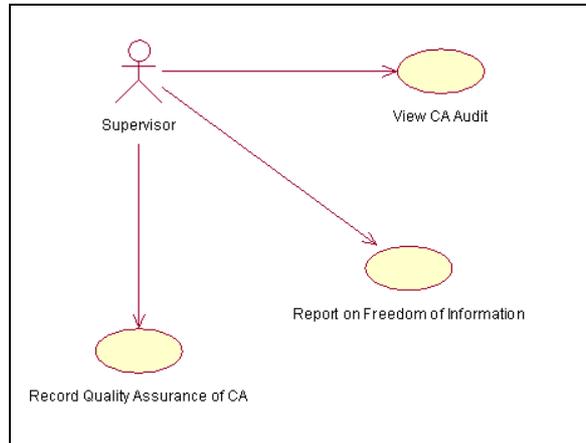
The "**eCAF Use Case Survey**" provides a more technical representation of the requirements, using standard UML notation.

eCAF Security Architecture
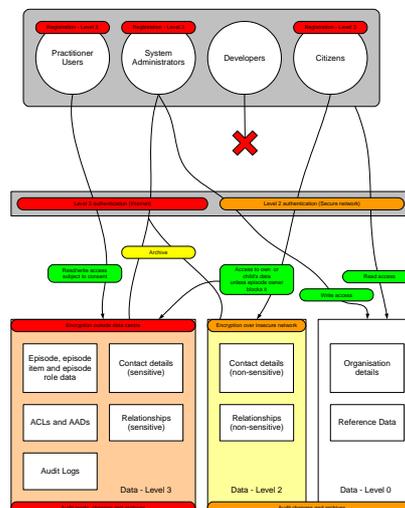
Security is a key consideration for eCAF. The "**eCAF Security Architecture**" explores the specialist requirements for this area in more depth.

eCAF Interfaces View

Interfacing and interoperability are important for eCAF. The "**eCAF Interfaces View**" provides more information about this area.

2.3.3 Other documents

Benefits Requirements map

The "**eCAF Benefits Requirements Map**" is the main cross-reference document. It is a spreadsheet which provides:
- A searchable list of all use cases and requirements
- Indication of the Business Process step where a Use Case first occurs
- Link between the Use Cases and the Root Cause Model

3.   Overview

This section gives a brief overview of the requirements for an eCAF system. It is a summary with more detail provided in the rest of the document. The purpose here is to provide a high-level insight into "What an eCAF system looks like".

3.1   Systems overview

Before looking in depth at what an eCAF system needs to do, this section outlines the "big picture".

(Note that this is a provisional view and may evolve as the full picture of Every Child Matters systems – including the IS Index – continues to develop. The purpose for now is to highlight how eCAF provides a layer of shared working, over and above that available from individual Case Management Systems)
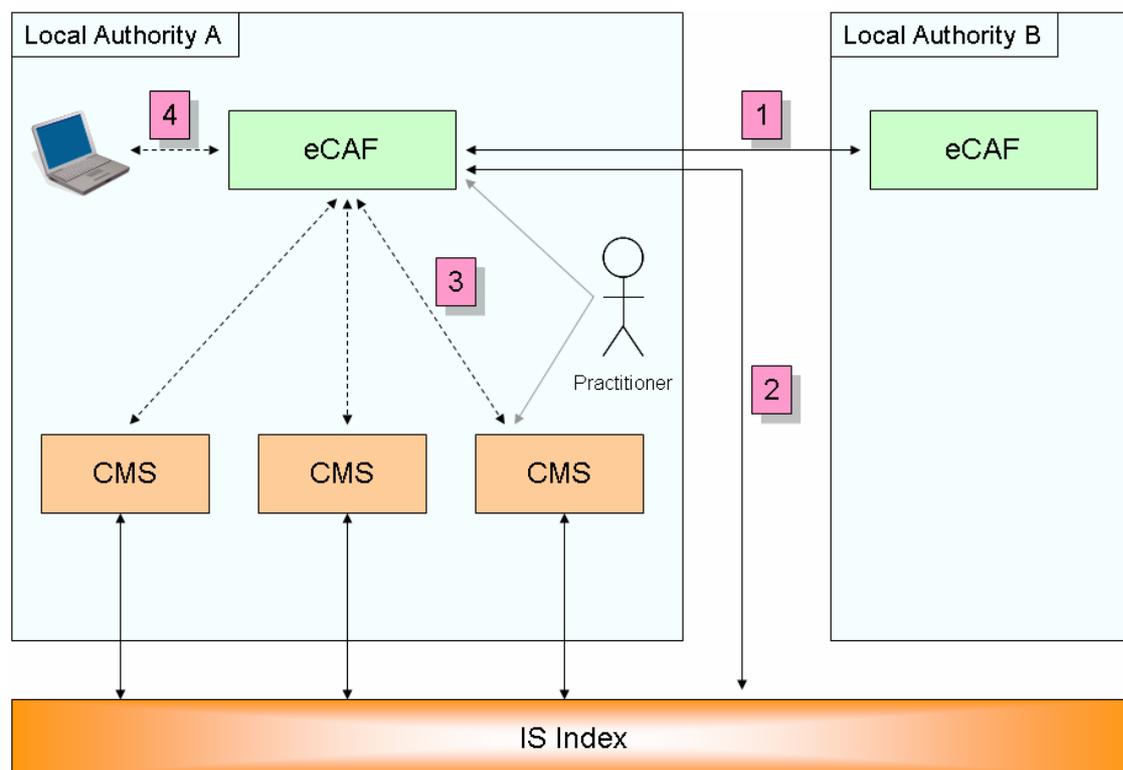
The diagram above shows three major building blocks of IT support for Every Child Matters. Each of the three types of system fulfils an important and specific role in the overall picture:

- **eCAF**

    eCAF systems sit at Local Authority level and provide a forum for shared working.
    All CA Episode data is stored in the Local Authority-based eCAF system, where it can be accessed (subject to consent) by all practitioners.
    eCAF brings a thin layer of needs-based coordination on top of the detailed activities in Case Management Systems.

- **Case Management Systems**

  Case management Systems (CMS) continue to be used by practitioners to record specialist assessments and detailed (private) casework.

- **IS Index**

  The IS Index sits at a National level.
  It supplies basic information about the child and any practitioners working with them. It also provides information about any CAFs that are in existence.

The diagram shows a practitioner using both eCAF and a Case Management System. In fact this view is somewhat simplified - as practitioners may also use the IS Index, and there are options for access to eCAF via Case Management Systems. (This is discussed further below).

However the point of the diagram is to illustrate that eCAF and CMS are distinct systems, each being the correct "tool" for a specific job. In many cases practitioners will see them in this way, and will require access to both.

3.2 Interfaces overview

Interoperability between the systems discussed above can help practitioners with their work, particularly in the area of information sharing. Common standards, as defined in this document set, make this possible. The numbers on the diagram highlight the key interfaces that an eCAF system must (solid line) or may (dotted line) provide to support links between systems:

1. **eCAF – eCAF**

   At a minimum, eCAF systems must be able to transfer CA Episode data between different Local Authorities when a child moves house. (More advanced scenarios might also see eCAF systems "talking to each other" in response to cross-border enquiries)

2. **eCAF – IS Index**

   eCAF behaves like Case Management Systems in this respect. It uses the IS Index as a source of definitive basic information about the child, and passes on updates to child data that it receives.

   However the IS Index also maintains a specific "CAF Flag" to track the existence and location of a CA Episode.

3. **eCAF – Case Management Systems**

   Three workable levels of integration between eCAF and Case Management Systems have been identified.

   i) No integration – the systems remain separate, each fulfilling their own role. The practitioner does private Casework in their CMS, and shared working on CAFs in the Local Authority eCAF system.

   ii) Integrated referrals – this allows CAF data to be passed through to a CMS when a child is referred. The Case Management System must map the data items as necessary and use them to pre-populate a specialist assessment

iii) Full integration – The CMS acts as a "front end" to eCAF, and the practitioner accesses eCAF data from within their existing Case Management System. It is important that this provides true online access to the eCAF database, and does not encourage siloed working on a private copy of the data.

It is important to note that these three levels are not mutually exclusive, and that different Case Management Systems may co-exist at different levels, or progress through the levels over time. It is also important to note that this section provides a provisional view and it will be important to monitor developments on other ECM projects (such as IS Index) and maintain a compatible approach.

4. eCAF – Offline devices

This link shows the possibility for practitioners to complete Common Assessments "in the field", using laptops, digital pens, PDAs, and so on. Interfaces allow for connecting and uploading the results on return to base.

3.3   Functional Requirements

In order to support the Business Processes, an eCAF system needs to provide functionality in the areas shown below.
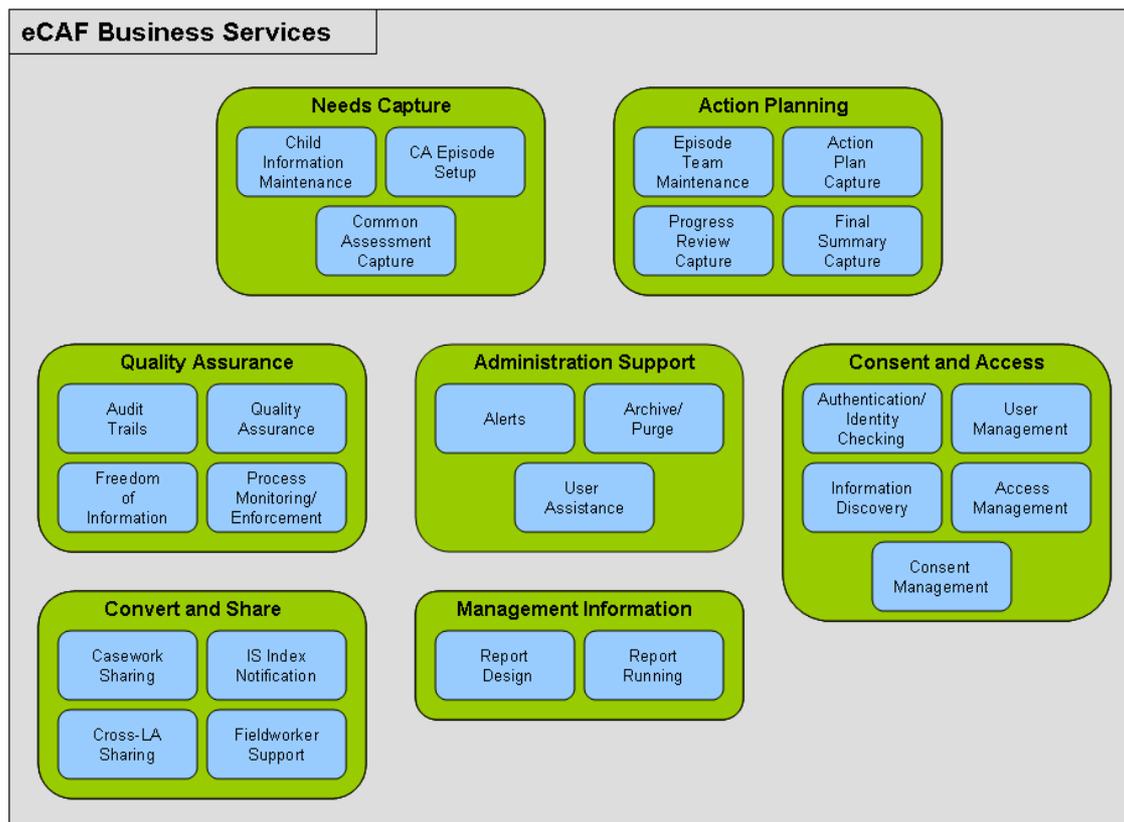
A brief summary of each area is as follows:

- **Needs Capture**

    Needs Capture involves setting up an Episode "folder", recording information about the child, and capturing the results of a Common Assessment discussion.

- **Action Planning**

    CAF Action planning is about taking the Common Assessment discussion forwards into interventions. It is about high-level planning and coordination between practitioners, and is not to be confused with the detailed action planning that takes place in casework systems.
    A "team around the child" needs to be built and maintained. Service Requests and high-level CAF Action Plans need to be recorded, along with their subsequent Reviews. At the end of the process a Final Summary is recorded.

- **Consent and Access**

    Central to all this activity is the ability to share information in a controlled way. There must be facilities for recording the child/family's consent to share, and for interpreting this into access for other users. Appropriate search facilities are needed so that practitioners can

discover what information is available. Also closely related is the management of users and groups, and security measures to authenticate and confirm identity.

- **Quality Assurance**

  High quality provision of children's services is an important and sensitive topic. An eCAF system must support this by providing comprehensive audit trails and provision for monitoring and enforcing correct processes.

- **Administration Support**

  An eCAF system needs to include administrative facilities to support the process. Automatic alerts can help by pro-actively reminding users to perform tasks, and archiving/purging facilities are needed to manage the database size and comply with Data Protection obligations. Finally, assistance in the form of an online help system can ensure that users are able to use the system easily.

- **Convert and Share**

  An eCAF system needs to be a "good citizen" and interoperate with other related systems. This will include exporting data in standard formats to interface with the IS Index, Casework systems, and other Local Authority eCAF systems. Also useful will be the ability to interoperate with devices used by practitioners in the field – for example uploading data from portable devices.

- **Management Information**

  An eCAF system has the potential to be a valuable source of Management Information, to be used for monitoring and planning of service provision.

3.4 Non-functional Requirements

The non-functional requirements of the system also need to be carefully considered. An eCAF system will be used by a large number of practitioners to store sensitive data about children – so it is important that it is fit-for-purpose to meet these demands.
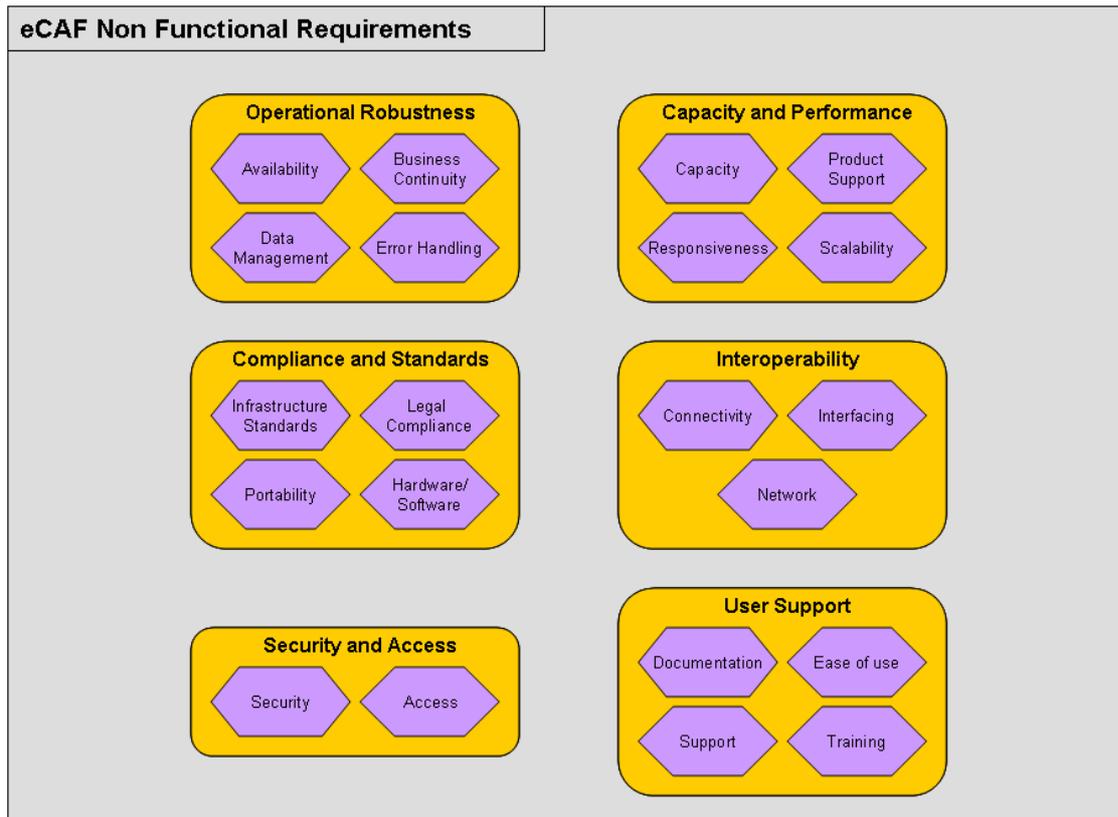
A brief summary of the main non-functional requirements is as follows:

- **Operational Robustness**

  Provision must be made for Business Continuity – the eCAF system must be hosted in an appropriate data centre, and plans be in place for disaster recovery without the loss of service or data. Availability and operating hours need to be considered, along with data management facilities such as back-ups and archiving. Error handling needs to be robust and informative.

- **Capacity and Performance**

  The number of users (practitioners) and volume of data must be assessed for each Local Authority, and the system sized appropriately. Scalability to cope with any anticipated growth in demand needs to be considered. The system must have acceptable response times to user input, with product support tools in place to monitor and diagnose any problems.

- **Compliance and Standards**

The system must comply with all relevant Local Authority and Government standards for infrastructure and hardware/software. The design should be adaptable and future-proof – for example, not reliant on details of proprietary approaches. Legal requirements must also be complied with, including the Data Protection, Freedom of Information, and Disability Discrimination Acts.

- **Interoperability**

  The eCAF system must fit within the wider infrastructure of Children's Services. It should be able to use the network and/or internet for email and secure/reliable message transfer. It must be able to connect and interface with other systems such as the IS Index, casework systems, upload devices, and other eCAF systems.

- **Security and Access**

  The system must be accessible to all practitioners (eg web access), and single-signon is an optional consideration. Security is critical – much of the data is classified at the highest level of sensitivity which mandates extensive security measures. These are described further in the eCAF Security Architecture.

- **User Support**

  The system must be easy to use so that it is accessible to practitioners with minimal IT literacy. It should be supported by online help and full documentation – both for end users and administrators. Training must be supplied, along with a helpdesk for user enquiries.

4. Overview-to-Use Case cross-reference

The table below takes the high level areas of functionality introduced above and shows how they are broken down into individual Use Cases.

It can be used to trace **downwards** from the overview to find out more about the detailed requirements in the alphabetical Use Case list. It can also be used to trace **upwards**, giving a feel for where a Use Case sits and its role in the system as a whole.

Level 0	Level 1	Level 2 (Use Case)
Needs capture		
	Child information maintenance	
		Record Child Information
		Access IS Index
	CA Episode setup	
		Maintain CA Episode
		Maintain CA Episode Coordinator
	Common Assessment capture	
		Record CA
		Search for CA Episode Item
		View/Print CA
Action planning		
	Episode Team maintenance	
		Maintain CA Episode Team
		Maintain CA Episode Coordinator
		Search for CA Service Request
		View/Print CA Episode Team
	Action plan capture	
		Record CA Action Plan
		Search for CA Episode Item
		View/Print CA Action Plan
	Progress Review capture	
		Record CA Progress Review
		Search for CA Episode Item
		View/Print CA Progress Review
	Final summary capture	
		Record CA Final Summary
		View/Print CA Final Summary
Consent and Access		
	Authentication / identity checking	
		Access eCAF
		Exit eCAF
	User Management	
		Maintain User
		Maintain Security Domain
		Maintain System Role
		Maintain Group
	Information discovery	
		Search for CA Episode
		Access IS Index
	Access Management	
		Check Access Rights
		Manage Access Rights Of CA Episode

Level 0	Level 1	Level 2 (Use Case)
		View CA Episode
	Consent Management	
		Record CA Consent Statement
		View/Print CA Consent Statement
Convert and share		
	Casework sharing	
		Export CA Episode
		Import CA Episode
	IS Index notification	
		Notify IS Index of New CA Episode
		Notify IS Index of relevant child changes
	Cross LA sharing	
		Transfer Episodes To Another Local Authority
	Fieldworker support	
		Export CA Episode
		Import CA Episode
Management Information		
	Report design	
		CA Management Information Reporting
	Report running	
		CA Management Information Reporting
Administration support		
	Alerts	
		Maintain Alert
		Remind CA Episode Coordinator To Record CA
		Remind CA Episode Coordinator to Review Action Plan
		Remind CA Episode Coordinator To Review Service Request
		Send Alert of Change to CA Episode
	Archive/Purge	
		Archive CA Episode
		Purge CA Episode
	User assistance	
		Administer Help
Quality Assurance Support		
	Audit trails	
		View CA Audit
	Quality assurance	
		Report on Quality Assurance of CA
	Freedom of information	
		Report on Freedom of Information

5. List of Use Cases

This section provides the lowest level of detail on functional requirements. The table below contains a complete alphabetical list of the Use Cases, describing detailed requirements for each.

Requirements have been categorised as "Mandatory", "Optional" or "Provisional":

- **Mandatory**
  Prioritises a requirement that is fundamental to the solution. Defines the minimum usable subset of requirements.

- **Optional**
  Prioritises a requirement that is deemed important for which there is a workaround in the short term and which would normally be classed as mandatory in less time-constrained development, but the solution will be useful and usable without them

- **Provisional**
  Indicates a requirement that is based on best information at the present time. The general intent is unlikely to change, but specific details might need updating. "Provisional" requirements tend to relate to interfacing, with the potential changes being to ensure compatibility with other ECM projects such as IS Index as these develop further.

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Access eCAF	Access eCAF.01	This use case starts when the Actor attempts to access the eCAF solution. This use case does the verification to ensure that the Actor is authorised to access the eCAF solution. This use case ends when the Actor is or is not authenticated to access the eCAF solution.	Mandatory
Access eCAF	Access eCAF.02	The solution must provide a facility for a user to authenticate their identity to access the system.	Mandatory
Access eCAF	Access eCAF.03	Users should not be able to self-register.	Optional
Access eCAF	Access eCAF.04	The solution must audit user access to the system.	Mandatory
Access eCAF	Access eCAF.05	The solution must provide level 3 security (e.g. logon using security tokens).	Mandatory
Access eCAF	Access eCAF.06	The solution should be built with federated access and single-sign-on in mind. Unfortunately the detailed standards are still evolving in this area - however they are likely to mature in the near future, providing significant benefits for practitioners in terms of ease of access to the system. eCAF solutions should be ready to take advantage of this.	Optional
Access IS Index	Access IS Index.01	This use case starts when the Actor requests to view details of a child on the IS Index. The use case does the look-up of the Child within the IS Index; and displays the data available. The use case ends when the Actor has noted or downloaded details of the child from the IS Index.	Optional
Access IS Index	Access IS Index.02	The solution should allow access to IS Index data from within the eCAF system. Note: This is an optional feature as the IS Index does not exist yet. However it will be highly beneficial for the user if they can access the IS Index directly without having to change application. Note: In this respect, an eCAF system will be indistinguishable from the many other "Case Management Systems" that connect to the IS Index to query data. Web Service interfaces are anticipated, but please consult IS Index documentation for full details of the capabilities and	Optional

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
		interfaces available.	
Access IS Index	Access IS Index.03	The solution should allow a search for a child on the IS Index. This may be used if a search for the child in a local eCAF system fails to return any records. The user can expand their search to the IS Index, to see if a CA Episode is flagged as existing in another region	Optional
Access IS Index	Access IS Index.04	The solution should allow "click through" to viewing of the IS Index data for the current child's record. This will be used for checking the child's data against the Index to make sure it is up-to-date. Also for determining other practitioners involved with the child.	Provisional
Access IS Index	Access IS Index.05	The solution should allow data from the IS Index to be downloaded and used to pre-populate child details. This will save rekeying when a child record is first being created in the eCAF system NB: Currently (June 2006) awaiting legal ruling on whether this is an acceptable use of IS Index data.	Provisional
Administer Help	Administer Help.01	This use case starts when the Actor requests to view system help. This use case does the verification of the search criteria to determine the help required; the retrieval of the help topics that match the Actors search criteria. This use case ends when the requested information has been noted by the Actor.	Mandatory
Archive CA Episode	Archive CA Episode.01	This use case is scheduled by time. The use case does the identification and archiving of a CA Episode. The use case ends when the appropriate CA Episode has been archived.	Mandatory
Archive CA Episode	Archive CA Episode.02	Archiving must be triggered when an Episode has been closed for a certain amount of time. The time limit for archiving must be parameterised, so that it can be easily adjusted based on best practice.	Mandatory
Archive CA Episode	Archive CA Episode.03	Archiving must be triggered when the Assessed Child for the CA Episode becomes an adult. The time limit for archiving must be parameterised, so that it can be easily adjusted based on best practice	Mandatory
CA Management Information Reporting	CA Management Information Reporting.01	This use case starts when the Actor requests to run Management Information reports. The use case does the statistical analysis for Management Information reporting. The use case ends when the Management Information has been noted by the Actor.	Mandatory
CA Management Information Reporting	CA Management Information Reporting.02	The solution should provide support to management information at local and departmental level. It is important to note that analysis will be on a statistical level only. Analysis of identifiable individuals is beyond the reason for which the data is held.	Optional
CA Management Information Reporting	CA Management Information Reporting.03	The solution must provide end user management information reporting tools.	Mandatory
CA Management Information Reporting	CA Management Information Reporting.04	The solution should control access to management information reports.	Optional
CA Management Information Reporting	CA Management Information Reporting.05	The solution should control access to data elements on management information reports.	Optional
CA Management Information Reporting	CA Management Information Reporting.06	The solution should be 'graphically' based allowing users to 'drag and drop' data elements.	Optional
CA Management Information Reporting	CA Management Information Reporting.07	The solution should allow for the creation of standard management information reports that can be scheduled to run at regular, defined intervals.	Optional
CA Management	CA Management	The solution must support the creation of ad hoc management information reports.	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Information Reporting	Information Reporting.08		
CA Management Information Reporting	CA Management Information Reporting.09	The solution must generate reports in standard output formats so that they can be accessible, for example, PDF, HTML.	Mandatory
CA Management Information Reporting	CA Management Information Reporting.10	The solution must restrict management information reporting to the user's region.	Mandatory
Check Access Rights	Check Access Rights.01	The use case retrieves the identify of the Practitioner and uses it together with the identifier of the CA Episode to check whether the Practitioner is allowed to access the information within the CA Episode. The results of the checks determines whether access is granted or not. The use case ends when access has been granted or rejected.	Mandatory
Check Access Rights	Check Access Rights.02	Access is controlled by the CA Episode. The current user-id must be checked against the Access Control List for the CA Episode to decide whether to grant read-only access.	Mandatory
Check Access Rights	Check Access Rights.03	The Access Control List must allow for three levels of access rights to a CA Episode: **Full Control** - able to update the Episode and also to manage the access rights of others. (This is intended primarily for the Episode Coordinator, but may also be granted to "deputies") **Update** - able to update the Episode, but NOT to manage the access rights of others. (This may be granted by the Episode Coordinator to other practitioners who are working closely with the child **Read Only** - able to view the Episode data only.	Mandatory
Download Pre-Assessment Checklist	Download Pre-Assessment Checklist.01	The solution is not required to provide a facility to record, search or download a CA Pre-Assessment Checklist.	Mandatory
Exit eCAF	Exit eCAF.01	This use case starts when the Actor requests to exit from the eCAF solution. This use case ensures that the Actor is logged off in a controlled manner. This use case ends when the Actor is no longer able to access the eCAF solution.	Mandatory
Exit eCAF	Exit eCAF.02	The solution must provide a facility for the user to exit the system.	Mandatory
Exit eCAF	Exit eCAF.03	The solution must audit when the user logs off from the system.	Mandatory
Export CA Episode	Export CA Episode.01	This use case starts when the Actor requests to export CA Episode information. This use case performs the exporting of the CA Episode information. This use case ends when the CA Episode has been exported.	Mandatory
Export CA Episode	Export CA Episode.02	The solution should provide a facility to export a CA Episode (e.g. to a Casework System or handheld device). For a Casework system, the purpose is to avoid rekeying, by allowing the eCAF data to be used as the basis of a specialist assessment when a child is referred. For a handheld device, the purpose is to allow a practitioner to view a copy of the CA Episode in the field.	Mandatory
Export CA Episode	Export CA Episode.04	The solution must enforce access checks, applying the same rules as for viewing an Episode.	Mandatory
Export CA Episode	Export CA Episode.05	All exports must be audited	Mandatory
Export CA Episode	Export CA Episode.06	The solution must support the export of a CA Episode as an XML file, using the standard eCAF XML schema. The intention is that this file may be transferred and imported into the Casework System or handheld device. Note that any transport mechanism used for the XML file must suitable for Level 3 security rated data.	Mandatory
Export CA Episode	Export CA Episode.07	The solution should expose Web Service functions - allowing an authorised user to automatically connect and obtain CA Episode data.	Provisional

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
		If implemented then any such Web Service functions must comply with the standard eCAF XML and WSDL specifications. The Web Service must be implemented securely, as appropriate for an interface allowing access to Level 3 security rated data over the internet. The Web Service must enforce access checks, so that a user has access to exactly the same Episode data as through the user interface screens.	
Export CA Episode	Export CA Episode.08	The solution is NOT responsible for mapping the eCAF data into specialist assessment formats. (This will be done by Casework Systems as part of their import functionality)	Mandatory
Import CA Episode	Import CA Episode.01	This use case starts when the Actor requests to import a CA Episode. The use case ends when the CA Episode details have been imported.	Optional
Import CA Episode	Import CA Episode.02	The solution should provide a facility to import a CA Episode (e.g. from a handheld device or a Casework System).	Optional
Import CA Episode	Import CA Episode.03	The solution should support the import of a CA Episode as an XML file, using the standard eCAF XML schema. (e.g. from a handheld device or a Casework System)	Optional
Import CA Episode	Import CA Episode.04	The solution should expose Web Service functions - allowing a CA Episode to be imported (e.g. from a handheld device or a Casework System) If implemented then any such Web Service function must comply with the standard eCAF XML and WSDL specifications. The Web Service must be implemented securely, as appropriate for an interface allowing access to Level 3 security rated data. The Web Service must enforce access checks, so that only authorised users can upload data.	Provisional
Import CA Episode	Import CA Episode.05	The solution must validate the imported data, and not rely on the sending system to enforce integrity and business rules.	Optional
Import CA Episode	Import CA Episode.05	The solution should manage any issues associated with importing updates. In practice this could mean: EITHER: Only new Episodes can be uploaded (for example, when doing a new Common Assessment in the field on a handheld device) OR Updates to a CA Episode must be appropriately handled and synchronised - including access control, concurrency checking, merging changes, and maintaining audit trails	Optional
Maintain Alert	Maintain Alert.01	This use case starts when the Actor requests to maintain Alert details - allows the Actor to maintain a list of Practitioners who wish to be automatically alerted if there is any business event activity against a CA Episode. For example, CA Episode. has been shared; CA Episode. has been updated; another Practitioner has been granted access to share the CA Episode. The use case does the maintenance of Alert details (e.g. creation, or removal of the Practitioner's preferred alert notification channel). The use case ends when Alert details have been maintained by the Actor.	Optional
Maintain CA Episode	Maintain CA Episode.01	This use case allows the Actor to maintain a CA Episode. The use case does the maintaining of a CA Episode. The use case ends when a CA Episode has been maintained.	Mandatory
Maintain CA Episode	Maintain CA Episode.03	The solution must provide a facility to create a new CA Episode. This must set up the mandatory details in the 'Episode' entity. It must also ensure that at least basic details of an 'Assessed Child' are entered. (Enough to allow a search to find the record again) It must also ensure that at least one set of Practitioner and Service Provider details are set up, and assigned to the role of Episode Coordinator.	Mandatory
Maintain CA Episode	Maintain CA Episode.03	The solution must provide a facility to close a CA Episode.	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
		It must ensure that a Final Summary has been captured before allowing the Episode to be closed. It must update the Episode Status to 'closed' and fill in the Episode Close Date.	
Maintain CA Episode	Maintain CA Episode.04	The solution must ensure that users only access information about CA Episodes to which they are allowed access.	Mandatory
Maintain CA Episode	Maintain CA Episode.05	The solution must ensure that the Episode access rights (Full Control, Update, Read Only) are honoured. Specifically, users with Read Only rights should not be able to maintain the Episode.	Mandatory
Maintain CA Episode	Maintain CA Episode.05	The solution must provide a facility to identify the Episode Coordinator for a CA Episode.	Mandatory
Maintain CA Episode	Maintain CA Episode.06	The solution must provide a facility to check that there is only one open CA Episode for a child at any one time.	Mandatory
Maintain CA Episode	Maintain CA Episode.06	The solution must keep track of a Version Number for each CA Episode, thus allowing out-of-date copies to be easily identified.	Mandatory
Maintain CA Episode	Maintain CA Episode.06	The solution must keep a full history of all changes to the CA Episode. It must record who changed what and when. It must be possible to recreate the exact appearance of a CA Episode given either a date or Version Number.	Mandatory
Maintain CA Episode Coordinator	Maintain CA Episode Coordinator.01	This use case allows the Actor to associate a CA Episode Coordinator to a CA Episode. The use case does the assignment or removal of a CA Episode Coordinator to a CA Episode. The use case ends when a CA Episode Coordinator has been maintained for a CA Episode.	Mandatory
Maintain CA Episode Coordinator	Maintain CA Episode Coordinator.02	The solution must provide a facility to identify a CA Episode Coordinator. There must only ever be one CA Episode Coordinator at a given point in time.	Mandatory
Maintain CA Episode Coordinator	Maintain CA Episode Coordinator.03	The solution must audit the date and time of any change of CA Episode Coordinator.	Mandatory
Maintain CA Episode Coordinator	Maintain CA Episode Coordinator.03	The solution must provide a facility for the Episode Coordinator to grant Full Control access rights to any number of other practitioner users. These can then share the Episode administration work, acting as deputies for the CA Episode Coordinator.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.01	The solution must provide a facility to record a Team for a CA Episode.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.02	The data items to be stored for each type of team member are extensive and are explained in the eCAF Data Model. They will not be repeated here - please refer to that document for more details.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.03	The solution must provide a facility to record organisation details.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.04	The solution must provide a facility to record practitioner details.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.05	The solution must provide a facility to record citizen details.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.06	The solution must provide a facility to record service request details.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.07	The solution must provide a facility to record service provision details.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.08	The solution must provide a facility to record personal relationship details.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.09	The solution must provide a facility to record all history changes to the team.	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.10	The solution must provide a facility to change the status of the service request to a service provision.	Mandatory
Maintain CA Episode	Maintain CA Episode	The solution must provide a facility to record a rejection reason for a service request.	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Team	Team.11		
Maintain CA Episode Team	Maintain CA Episode Team.12	The solution should provide options to link with any existing Service Directories of organisation and practitioner details. This will help to avoid the need for re-keying and ensure accurate information.	Optional
Maintain CA Episode Team	Maintain CA Episode Team.13	The solution should, in the absence of Service Directory links, provide a "Personal Address Book" facility, to allow users to set up details of commonly used contacts. Thus avoiding the need for re-keying and helping to ensure accurate information.	Optional
Maintain CA Episode Team	Maintain CA Episode Team.14	The solution must ensure that each CA Episode Team is self-contained, avoiding any unauthorised "leaking" of information between Episodes	Mandatory
Maintain CA Episode Team	Maintain CA Episode Team.15	The solution should provide a facility to copy the CA Episode Team from an existing CA Episode to which the user has access. Thus avoiding unnecessary rekeying when a new CA Episode is being created.	Optional
Maintain Group	Maintain Group.01	This use case starts when the Actor requests to maintain user groups for the system. The use case does the maintenance (i.e. create, update) of the user groups. The use case ends when the user groups have been maintained by the Actor.	Mandatory
Maintain Group	Maintain Group.02	The solution must provide a facility to set up and name a "Group" of users within the local security domain	Mandatory
Maintain Group	Maintain Group.03	The solution must provide a facility to add and remove Users from a Group within the local security domain	Mandatory
Maintain System Role	Maintain System Role.01	This use case starts when the Actor requests to maintain system roles (i.e. level of system access) for the system. The use case does the maintenance (i.e. create, update) of the system roles. The use case ends when the user roles have been maintained by the Actor.	Mandatory
Maintain System Role	Maintain System Role.02	The solution must be aware of built-in specialised System Roles. These include Practitioner, Administrator, Auditor and Reporting	Mandatory
Maintain System Role	Maintain System Role.03	The solution must provide a facility to add and remove users to system roles	Mandatory
Maintain System Role	Maintain System Role.04	Any user with no specified role must be treated by default as an ordinary "practitioner"	Mandatory
Maintain Security Domain	Maintain Security Domain.01	This use case starts when the Actor requests to maintain a Security Domain for the system. The use case does the maintenance (i.e. create, update) of the Security Domain. The use case ends when the regions have been maintained by the Actor.	Mandatory
Maintain Security Domain	Maintain Security Domain.02	The solution must allow for the creation of one (or more) internal Security Domains for the setup and management of users and groups	Mandatory
Maintain Security Domain	Maintain Security Domain.03	The solution should allow for the registration of trusted external security domains, to be used for Single Sign On	Provisional
Maintain User	Maintain User.01	This use case starts when the Actor requests to maintain User Account details. The use case does the maintenance (e.g. activation, de-activation) of User Account details. The use case ends when the User Account details have been maintained by the Actor.	Optional
Maintain User	Maintain User.02	The solution must provide a facility to set up and activate users within the local security domain.	Optional
Maintain User	Maintain User.03	The solution must provide a facility to de-activate users.	Optional
Maintain User	Maintain User.04	The solution must provide a facility to assign users to system roles.	Optional
Maintain User	Maintain User.05	The solution must provide a facility to assign users to groups.	Mandatory
Maintain User	Maintain User.06	The solution is required to keep an audit trail of all user account maintenance.	Optional
Manage Access Rights Of CA Episode	Manage Access Rights Of CA Episode.01	This use case starts when the Actor requests to change access rights to a CA Episode. The use case allows the user to view existing access rights and make changes. The use case ends when the access rights have been updated.	Mandatory
Manage Access Rights	Manage Access Rights	The solution must provide a facility to view the Access Control List for a CA Episode and add or	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Of CA Episode	Of CA Episode.02	remove users and groups.	
Manage Access Rights Of CA Episode	Manage Access Rights Of CA Episode.03	The Access Control List must allow for three levels of access rights to a CA Episode: **Full Control** - able to update the Episode and also to manage the access rights of others. (This is intended primarily for the Episode Coordinator, but may also be granted to "deputies") **Update** - able to update the Episode, but NOT to manage the access rights of others. (This may be granted by the Episode Coordinator to other practitioners who are working closely with the child **Read Only** - able to view the Episode data only.	Mandatory
Manage Access Rights Of CA Episode	Manage Access Rights Of CA Episode.04	The solution must ensure that Access Control List entries are justified by consent. When adding Access Control List entries, the user must select a line from the Consent Statement and write a note to explain why it justifies this access	Mandatory
Manage Access Rights Of CA Episode	Manage Access Rights Of CA Episode.05	The solution must ensure that any access that is granted WITHOUT consent is justified by an "Additional Access Decision". This explains exactly who is being granted access and why, and must be further justified in terms of the Data Protection Act provisions (eg "in the public interest") If "Additional Access" is requested and refused, this should also be recorded as an Additional Access Decision	Mandatory
Manage Access Rights Of CA Episode	Manage Access Rights Of CA Episode.05	The solution should, as far as possible, suggest entries for the Access Control List based on the user/group ids of practitioners and organisations listed on the Consent Statement. This helps to simplify and automate the task for the user.	Optional
Manage Access Rights Of CA Episode	Manage Access Rights Of CA Episode.06	The solution should provide a simple workflow system to help practitioners to contact each other to request access, and to keep track of these requests.	Optional
Notify IS Index of New CA Episode	Notify IS Index of New CA Episode.01	This use case is triggered when a new CA Episode has been set up for a Child. The use case does the sending of a notification to the IS Index to signify that a new CA Episode has been created for a Child. The use case ends when the IS Index has confirmed the creation of a new CA Episode for the Child. [DN: This is a mandatory requirement as the IS Index performs an essential role in locating CA Episodes in local eCAF systems. However, obviously it cannot be implemented until the IS Index exists.]	Mandatory
Notify IS Index of New CA Episode	Notify IS Index of New CA Episode.02	The message notification to the IS Index must include as a minimum, the child associated with the CA; details of the CA Episode Coordinator. [DN Detailed specifications will be published by IS Index project. A Web Services interface is anticipated].	Provisional
Notify IS Index of New CA Episode	Notify IS Index of New CA Episode.03	The solution must notify the IS Index of significant status changes to the CA Episode - for example transferring to a new Local Authority eCAF system, or closing the Episode. [DN Detailed specifications will be published by IS Index project. A Web Services interface is anticipated].	Provisional
Notify IS Index of relevant child changes	Notify IS Index of Child changes.01	This use case is triggered when Child details are changed in eCAF. The use case does the sending of a notification to the IS Index with the updated child information. The use case ends when the IS Index has received the updated child information. [DN In this respect, eCAF is the same as many other systems which will provide feeds to the IS Index. Detailed specifications will be published by IS Index project. A Web Services interface is anticipated]	Provisional
Purge CA Episode	Purge CA Episode.01	This use case is scheduled by time. The use case does the identification and physical removal of the CA Episode. The use case ends when the appropriate CA Episode has been removed.	Mandatory
Purge CA Episode	Purge CA Episode.02	Purging must be triggered when an Episode has been archived for a certain amount of time. The time limit for purging must be parameterised, so that it can be easily adjusted based on best practice and data protection guidance	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Purge CA Episode	Purge CA Episode.03	There is NO requirement to notify the IS Index of the purging.	Provisional
Record CA Episode Item	Record CA Episode Item.01	This use case starts when the Actor requests to record a CA Episode Item. The use case does the maintenance of the CA Episode Item The use case ends when the CA Episode Item details have been recorded by the Actor.	Mandatory
Record CA Episode Item	Record CA Episode Item.02	The solution must provide a facility to draft, update and finalise a CA Episode Item. Note that CA Episode Items include a Common Assessment, Action Plan, Progress Review, Consent Statement, and Final Summary. Each one is listed specifically elsewhere in the requirements. This use case covers the generic details common to all CA Episode Items.	Mandatory
Record CA Episode Item	Record CA Episode Item.03	The solution must ensure that only users with "Full Control" or "Update" access rights to the Episode can record CA Episode Items.	Mandatory
Record CA Episode Item	Record CA Episode Item.04	The solution must provide a facility to identify roles involved in the creation of a CA Episode Item. This includes nominating one practitioner as the Author. Any number of other practitioners may be recorded as Contributors. Family members present at the assessment should also be recorded as Contributors.	Mandatory
Record CA Episode Item	Record CA Episode Item.05	The solution must allow a CA Episode Item to be saved as a draft initially and updated before finalisation. A history of all drafts must be kept.	Mandatory
Record CA Episode Item	Record CA Episode Item.06	Once a CA Episode Item has been finalised then it cannot be altered. Instead another, more up-to-date, CA Episode Item must be created for the CA Episode.	Mandatory
Record CA Episode Item	Record CA Episode Item.07	The solution screens must bear a reasonable resemblance to the standard paper Common Assessment form.	Mandatory
Record CA	Record CA.01	This use case starts when the Actor requests to record a Common Assessment. The use case does the maintenance of the Common Assessment The use case ends when the Common Assessment details have been recorded by the Actor.	Mandatory
Record CA	Record CA.02	A Common Assessment is a type of CA Episode Item. Therefore all of the requirements for 'Record CA Episode Item' apply.	Mandatory
Record CA	Record CA.03	The solution must allow for recording the data items in the 'Common Assessment', 'Common Assessment Observation' and 'Common Assessment Conclusions' entities. This includes the standard CAF information "domains" about the child, as well as conclusions and the child/parent's comments	Mandatory
Record CA	Record CA.04	The solution should allow multiple contributions to a Common Assessment before finalisation.	Optional
Record CA Action Plan	Record CA Action Plan.01	This use case allows the Actor to record (i.e. create, update) a CA Action Plan. The use case does the recording of the CA Action Plan. The use case ends when the CA Action Plan has been noted.	Mandatory
Record CA Action Plan	Record CA Action Plan.02	A CA Action Plan is a type of CA Episode Item. Therefore all of the requirements for 'Record CA Episode Item' apply.	Mandatory
Record CA Action Plan	Record CA Action Plan.03	The solution must allow for recording the data items in the 'Action Plan' and 'Action' entities. This includes recording who, what and when for a set of actions, the Review date, and the child/parent's comments.	Mandatory
Record CA Action Plan	Record CA Action Plan.04	The solution should minimise rekeying by allowing the user to select from the existing Child Relationships when assigning actions.	Optional
Record CA Consent Statement	Record CA Consent Statement.01	This use case starts when the Actor requests to record a CA Consent Statement. The use case does the recording (i.e. create, update) of the CA Consent Statement. The use case ends when the CA Consent Statement has been noted by the Actor.	Mandatory
Record CA Consent Statement	Record CA Consent Statement.02	A CA Consent Statement is a type of CA Episode Item. Therefore all of the requirements for 'Record CA Episode Item' apply.	Mandatory
Record CA Consent Statement	Record CA Consent Statement.03	The solution must allow for recording the data items in the 'Consent Statement' and 'Consent Statement Entry' entities.	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
		This includes recording who granted the consent, who it is granted to, any consent that is explicitly refused, and comments.	
Record CA Consent Statement	Record CA Consent Statement.04	The solution should minimise rekeying by allowing the user to select from the existing Child Relationships when assigning consent.	Optional
Record CA Final Summary	Record CA Final Summary.01	This use case allows the Actor to record the CA Final Summary. The use does the recording of the CA Final Summary. The use case ends with the CA Final Summary has been noted.	Mandatory
Record CA Final Summary	Record CA Final Summary.02	A CA Final Summary is a type of CA Episode Item. Therefore all of the requirements for 'Record CA Episode Item' apply.	Mandatory
Record CA Final Summary	Record CA Final Summary.03	The solution must allow for recording the data items in the 'Final Summary' entity. This includes recording concluding notes and the child's comments.	Mandatory
Record CA Final Summary	Record CA Final Summary.04	The Final Summary is an intrinsic part of closing a CA Episode. It must not be possible to close a CA Episode without recording a Final Summary, nor to record a Final Summary without closing the CA Episode.	Mandatory
Record CA Final Summary	Record CA Final Summary.05	The solution must allow for recording a simple "success rating" as part of the Final Summary. This will be used for sampling and reporting, to assess the success of various intervention approaches.	Mandatory
Record CA Progress Review	Record CA Progress Review.01	This use case allows the Actor to record a CA Progress Review. The use does the recording of the CA Progress Review. The use case ends with the CA Progress Review has been noted.	Mandatory
Record CA Progress Review	Record CA Progress Review.02	A CA Progress Review is a type of CA Episode Item. Therefore all of the requirements for 'Record CA Episode Item' apply.	Mandatory
Record CA Progress Review	Record CA Progress Review.03	The solution must allow for recording the data items in the 'Progress Review' entity. This includes recording notes on progress and the child's comments.	Mandatory
Record Child Information	Record Child Information.01	This use case starts when the Actor requests to record Child details. The use case does the maintenance (e.g. create, update, view) Child details. The use case ends when Child details have been maintained by the Actor.	Mandatory
Record Child Information	Record Child Information.02	The solution must provide a facility to record information about a child, as defined by the 'Assessed Child' entity.	Mandatory
Record Child Information	Record Child Information.03	The solution must allow for finding a child using the unique identifier published by the IS Index. [DN: This assumes that IS Index will make publicly available a unique child identifier. Policy on this is yet to be confirmed]	Mandatory
Remind CA Episode Coordinator To Record CA	Remind CA Episode Coordinator To Record CA.01	The solution must provide a facility to send automated reminders for Practitioners to record a CA.	Mandatory
Remind CA Episode Coordinator to Review Action Plan	Remind CA Episode Coordinator to Review Action Plan.01	This use case is triggered when a CA Action Plan has missed its Review Date. The use case does the sending of a reminder for a CA Action Plan that has missed its Review Date. The use case ends when the notification has been sent.	Optional
Remind CA Episode Coordinator To Review Service Request	Remind CA Episode Coordinator To Review Service Request.01	The solution must provide a facility to send automated reminders for CA Episode Coordinator to review a CA Service Request.	Mandatory
Report on Freedom of Information	Report on Freedom of Information.01	This use case starts when the Actor requests to respond to a Freedom of Information Request. The use case does the retrieval and reporting to support the Freedom of Information Request. The use case ends when the Actor has noted the Freedom of Information.	Optional
Report on Quality Assurance of CA	Record Quality Assurance of CA.01	This use case starts when the Actor requests to respond to a Quality Assurance Request. The use case does the retrieval and reporting to support the Quality Assurance Request. The use case ends when the Actor has noted the Quality Assurance information.	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Search for CA Episode	Search for CA Episode.01	The solution must provide a facility to search for a CA Episode.	Mandatory
Search for CA Episode	Search for CA Episode.02	The solution must provide a facility for the user to search by supplying information from the 'CA Episode' and/or 'Assessed Child' entities.	Mandatory
Search for CA Episode	Search for CA Episode.03	The solution must allow the user to search for CA Episodes matching any combination of CA Episode statuses (Live, Closed, Archived)	Mandatory
Search for CA Episode	Search for CA Episode.04	The solution must allow the user to control the scope of the search - either all CA Episodes in the system, or only those to which they already have access.	Mandatory
Search for CA Episode	Search for CA Episode.05	The solution must retrieve and display the list of CA Episodes that match the user's search request - or inform the user if there are no matches	Mandatory
Search for CA Episode	Search for CA Episode.06	Even though the user may not have access rights to some of the CA Episodes found by the search, the solution should display basic details (eg child name, date of birth) and details of the Episode Coordinator who may be contacted for more information	Mandatory
Search for CA Episode	Search for CA Episode.07	A special case is that an Episode can be marked as "shielded". In this case the Episode must be hidden from any search results with "whole system" scope. The Episode Coordinator must be notified of the suppressed search result so that they can follow up as necessary, according to their judgement. (This notification must be traceable for audit purposes)	Mandatory
Search for CA Episode	Search for CA Episode.08	The solution must allow the user to select a particular CA Episode in the list for detailed display. (Assuming he/she has the relevant access rights).	Mandatory
Search for CA Episode	Search for CA Episode.09	The solution should provide a facility for the user to refine the search by modifying one or more of the criteria.	Optional
Search for CA Episode	Search for CA Episode.10	The solution must provide a facility to print the CA Episode search results.	Mandatory
Search for CA Episode	Search for CA Episode.11	The solution is required to keep an Audit Log of CA Episode searches with "whole system" scope. (Ie. it is not required to keep an Audit Log of searches within the CA Episodes to which the user already has access).	Mandatory
Search for CA Episode	Search for CA Episode.12	The solution should show a list of all open CA Episodes to which the current user has access as a default when they log on.	Optional
Search for CA Episode	Search for CA Episode.13	The solution should expose Web Service functions - allowing an authorised user to connect and search for relevant CA Episode(s) from another system (eg Casework System). If implemented then any such Web Service functions must comply with the standard eCAF XML and WSDL specifications. The Web Service must be implemented securely, as appropriate for an interface allowing access to Level 3 security rated data over the internet. The Web Service must enforce access checks, so that a user has access to exactly the same Episode data as through the user interface screens.	Provisional
Search for CA Episode Item	Search For CA Episode Item.01	This use case starts when the Actor requests to search within a CA Episode for a CA Episode Item. The use case looks for a CA Episode Item that matches search criteria given by the Actor. This use case ends when the requested information has been noted by the Actor.	Mandatory
Search for CA Episode Item	Search For CA Episode Item.02	The solution must provide a facility for the user to search for CA Episode Items within a CA Episode by supplying information from the 'Episode Item' entity. (CA Episode Items include the Common Assessment, Consent Statement, Action Plan, Progress Review, Final Summary)	Mandatory
Search for CA Episode Item	Search For CA Episode Item.03	The solution must retrieve and display all CA Episode Items that match the user's search criteria, or inform the user if there are no matches	Mandatory
Search for CA Episode	Search For CA Episode	The solution must allow the user to select and display a particular CA Episode Item in the list.	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Item	Item.04	(Assuming he/she has the relevant access rights).	
Search for CA Episode Item	Search For CA Episode Item.05	The solution should provide a facility for the user to refine the search by modifying one or more of the criteria.	Optional
Search for CA Episode Item	Search For CA Episode Item.06	The solution should provide a facility to print the CA Episode Item search results.	Optional
Search for CA Episode Item	Search For CA Episode Item.07	The solution is not required to keep an Audit Log of CA Episode Item searches.	Mandatory
Search for CA Service Request	Search For CA Service Request.01	This use case starts when the Actor requests to search for a CA Service Request. The use case looks for a CA Service Request that matches search criteria given by the Actor. This use case ends when the requested information has been noted by the Actor.	Mandatory
Search for CA Service Request	Search For CA Service Request.02	The solution must provide a facility for the user to search by supplying information from the 'Service Request' entity.	Mandatory
Search for CA Service Request	Search For CA Service Request.03	The solution must retrieve and display all CA Service Requests that match the user's search criteria.	Mandatory
Search for CA Service Request	Search For CA Service Request.04	The solution must allow the user to display a particular CA Service Request in the list. Assuming he/she has the relevant access rights.	Mandatory
Search for CA Service Request	Search For CA Service Request.05	The solution must warn if there no CA Service Request matches.	Mandatory
Search for CA Service Request	Search For CA Service Request.06	The solution should provide a facility for the user to refine the search by modifying one or more of the criteria.	Optional
Search for CA Service Request	Search For CA Service Request.07	The solution must provide a facility to print the CA Service Request search results.	Mandatory
Search for CA Service Request	Search For CA Service Request.08	The solution is not required to keep an Audit Log of CA Service Request searches.	Mandatory
Send Alert of Change to CA Episode	Send Alert of Change to CA Episode.01	This use case starts when a business event activity has been performed against a CA Episode and a Practitioner has been set-up that requires an automated alert. This use case does the automatic sending of an alert to the Practitioner's preferred method of alert notification channel (e.g. email) to inform them that a business event activity has been performed against a CA Episode for which they have requested an automated interest. This use case ends when an alert has been sent to a Practitioner.	Optional
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.01	This use case starts when the Actor requests to transfer a CA Episode to another Local Authority. (For example when a child moves house). The use case does the transfer of the CA Episode to the new Local Authority; removes the CA Episode from the old Local Authority. The use case ends when the CA Episode has been transferred.	Mandatory
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.02	The solution must provide a facility to transfer a complete CA Episode (or set of Episodes) for a child to another Local Authority.	Mandatory
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.04	The solution must prompt/assist the user to search for any other CA Episodes relating to the same child - thus helping to ensure transfer of the whole history.	Mandatory
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.05	The transfer must be audited in both the old and new Local Authority	Mandatory
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.06	Any transfer mechanism used must be "reliable" - that is it must ensure that the child's data arrives safely and cannot be "lost in transit"	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.07	Any transfer mechanism must preserve confidentiality, and be suitable for Level 3 security rated data.	Mandatory
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.08	The solution must provide facilities for receiving a transferred CA Episode. This must, for example, notify an administrator who can contact the old Episode Coordinator to ensure a smooth transition, arrange permissions in the new security domain, etc	Mandatory
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.09	The solution must support the export of a complete CA Episode as an XML file, using the standard eCAF XML schema. The intention is that this file may be transferred and imported into the new Local Authority's eCAF system. Note that any transport mechanism used to get the XML file to the new Local Authority must suitable for Level 3 security rated data.	Mandatory
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.10	The solution must support the import of a complete CA Episode as an XML file, using the standard eCAF XML schema. This is used to complete the transfer into the "new" Local Authority	Mandatory
Transfer Episodes To Another Local Authority	Transfer Child To Another Local Authority.11	The solution should expose Web Service functions - allowing the system to automatically receive CA Episode(s) being transferred in from another Local Authority. If implemented then any such Web Service function must comply with the standard eCAF XML and WSDL specifications. The Web Service must be implemented securely, as appropriate for an interface allowing access to Level 3 security rated data over the internet. The Web Service must enforce access checks, so that only authorised users can perform a child transfer.	Provisional
View CA Audit	View CA Audit.01	This use case starts when the Actor requests to view historical and Audit Log records about a CA Episode. This use case does the verification of the search criteria to determine the audit log entries to be retrieved; the retrieval of the audit log entries that match the Actors search criteria. This use case ends when the requested information has been noted by the Actor.	Mandatory
View CA Audit	View CA Audit.02	The solution must provide a clear auditable change process: recording the original and subsequent changes of CA data.	Mandatory
View CA Audit	View CA Audit.03	The solution must provide a facility to view all changes and accesses to CA data.	Mandatory
View CA Audit	View CA Audit.04	The solution must provide a facility to view all searches for a CA Episode.	Mandatory
View CA Audit	View CA Audit.05	The solution must provide a facility to recreate the CA Episode as it appeared at an earlier point in time.	Mandatory
View CA Episode	View CA Episode.01	This use case starts when the Actor requests to view a CA Episode. The use case uses the use case Check Access Rights to verify access to the CA Episode; if access is permitted the use case enables the CA Episode to be viewed. The use case ends when the Actor has viewed the CA Episode, or was denied access. (Note that the CA Episode itself is just a container. Most of the interesting information is within the Episode Items and Episode Team - these are listed as separate use cases).	Mandatory
View CA Episode	View CA Episode.01	The solution must ensure that users only access information about CA Episodes to which they are allowed access - as defined in the Access Control List for the CA Episode.	Mandatory
View/Print CA	View/Print CA.01	This use case starts when the Actor requests to view or print a Common Assessment The use case does the viewing or printing of a Common Assessment. The use case ends when the Common Assessment has been viewed or printed.	Mandatory
View/Print CA	View/Print CA.02	A Common Assessment is a type of CA Episode Item. Therefore all of the requirements for 'View/Print CA Episode Item' apply.	Mandatory
View/Print CA Action	View/Print CA Action	This use case starts when the Actor requests to view or print a CA Action Plan. The use case does	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Plan	Plan.01	the viewing or printing of a CA Action Plan. The use case ends when the CA Action Plan has been viewed or printed.	
View/Print CA Action Plan	View/Print CA Action Plan.02	A CA Action Plan is a type of CA Episode Item. Therefore all of the requirements for 'View/Print CA Episode Item' apply.	Mandatory
View/Print CA Consent Statement	View/Print CA Consent Statement.01	This use case starts when the Actor requests to view or print a CA Consent Statement. The use case does the viewing or printing of a CA Consent Statement. The use ends when the CA Statement has been viewed or printed.	Mandatory
View/Print CA Consent Statement	View/Print CA Consent Statement.02	A CA Consent Statement is a type of CA Episode Item. Therefore all of the requirements for 'View/Print CA Episode Item' apply.	Mandatory
View/Print CA Consent Statement	View/Print CA Consent Statement.03	When printing a CA Consent Statement for signing, the solution must list organisations but not individual practitioners. Practitioners do not work alone, and consent must be granted so that they can seek support from colleagues.	Mandatory
View/Print CA Episode Item	View/Print CA Episode Item.01	This use case starts when the Actor requests to view or print a CA Episode Item. The use case does the viewing or printing of a CA Episode Item. The use case ends when the CA Episode Item has been viewed or printed.	Mandatory
View/Print CA Episode Item	View/Print CA Episode Item.02	The solution must provide a facility to view and print a CA Episode Item. Note that CA Episode Items include a Common Assessment, Action Plan, Progress Review, Consent Statement, and Final Summary. Each one is listed specifically elsewhere in the requirements. This use case covers the generic details common to all CA Episode Items.	Mandatory
View/Print CA Episode Item	View/Print CA Episode Item.03	The solution must control access to CA Episode Items through the CA Episode. Therefore the user can only see items that belong to a CA Episode to which they have access.	Mandatory
View/Print CA Episode Item	View/Print CA Episode Item.04	Each CA Episode Item must have a screen to allow read-only viewing of the details. This screen should look as similar as reasonably possible to the standard paper CAF form	Mandatory
View/Print CA Episode Item	View/Print CA Episode Item.05	Each CA Episode Item must able to be printed out. The printout should look as similar as reasonably possible to the standard paper CAF form	Mandatory
View/Print CA Episode Item	View/Print CA Episode Item.06	The printout of a CA Episode Item must be in a format suitable for the child/family to take away, including reference information such as the child's name, Episode Version Number and any other relevant identifiers. It must include a space for the child/family to physically sign the paper.	Mandatory
View/Print CA Episode Team	View/Print CA Episode Team.01	This use case starts when the Actor requests to view or print a CA Episode Team. The use case does the viewing or printing of a CA Episode Team. The use case ends when the CA Episode Team has been viewed or printed.	Mandatory
View/Print CA Episode Team	View/Print CA Episode Team.02	The solution must control access to CA Episode Team through the CA Episode. Therefore the user can only see team details that belong to a CA Episode to which they have access.	Mandatory
View/Print CA Episode Team	View/Print CA Episode Team.03	The solution must provide a screen to allow read-only viewing of the Episode Team details.	Mandatory
View/Print CA Episode Team	View/Print CA Episode Team.04	The solution must provide the ability to print out the Episode Team details.	Mandatory
View/Print CA Episode Team	View/Print CA Episode Team.05	It must be possible to print a CA Service Request in the form of a letter.	Mandatory
View/Print CA Final Summary	View/Print CA Final Summary.01	This use case starts when the Actor requests to view or print a CA Final Summary. The use case does the viewing or printing of a CA Final Summary. The use case ends when the CA Final Summary has been viewed or printed.	Mandatory
View/Print CA Final Summary	View/Print CA Final Summary.02	A CA Final Summary is a type of CA Episode Item. Therefore all of the requirements for 'View/Print CA Episode Item' apply.	Mandatory

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
View/Print CA Progress Review	View/Print CA Progress Review.01	This use case starts when the Actor requests to view or print a CA Progress Review. The use case does the viewing or printing of a CA Progress Review. The use case ends when the CA Progress Review has been viewed or printed.	Mandatory
View/Print CA Progress Review	View/Print CA Progress Review.02	A CA Progress Review is a type of CA Episode Item. Therefore all of the requirements for 'View/Print CA Episode Item' apply.	Mandatory

6.   List of Non-Functional Requirements

This section describes the non-functional requirements of the solution. These requirements are divided into the following categories:

- **Compliance and Standards** – These requirements characterise any compliance or standards that an eCAF solution must meet.

- **Interface** – These requirements characterise the interactions between eCAF and external systems.

- **Operational** – These requirements are operation related like porting information, licensing details, and the maintenance, monitoring and support of the solution in production.

- **Performance** – These requirements indicate the performance that is required of the solution in order to fulfill continuous business operation.

- **Security** – These requirements relate to security, integrity, or privacy issues that affect the use of the solution, and protection of the data used or created by the solution.

- **Usability** – These requirements characterise the ease of use, ease of learning, and ease of maintenance of the solution. Usability also includes the user interface, help features, documentation, and training materials required.

Non-Functional Major Category	Requirement ID	Requirement Description	Priority (Mandatory/ Optional)
Compliance and Standards	Compliance and Standards.01	The solution should fit with Local Authority working practices and I.T infrastructure.	Optional
Compliance and Standards	Compliance and Standards.02	The solution must provide a means of sharing CAF information between relevant Agencies.	Mandatory
Compliance and Standards	Compliance and Standards.03	The solution should provide procedures for information sharing agreements: including where information is to be held, who will have access, and clearly state retention periods.	Optional
Compliance and Standards	Compliance and Standards.04	The solution must define data Interface Standards and Schemas in association with other stakeholders, including both XML schemas for CA forms and transformations to and from other formats. Note: these schemas should be designed to retain audit trail information rather than just holding the form content. CA information transferred between Agencies must conform to the eCAF-related Data Standards defined in the eCAF XML Schemas document, except where a departure from the standards is agreed and documented.	Mandatory
Compliance and Standards	Compliance and Standards.05	The solution needs to comply with the Data Protection Act: The key principles are: o fairly and lawfully processed o processed only for specified, lawful and compatible purposes o adequate, relevant and not excessive o accurate and where necessary kept up to date o kept for no longer than necessary o shown to the individual when they request it ("subject access")	Optional

| Non-Functional Major Category	Requirement ID	Requirement Description	Priority (Mandatory/ Optional)
		o kept secure	
Compliance and Standards	Compliance and Standards.06	The solution needs to comply with Freedom of Information Act.	Mandatory
Compliance and Standards	Compliance and Standards.07	The solution should comply with the UK Disability Discrimination Act.	Optional
Interface	Interface.01	The solution must use the standard interface required by the IS Index System.	Mandatory
Interface	Interface.02	The solution must define a standard interface for Agency Casework Systems to use. Refer to Compliance and Standards.04.	Mandatory
Interface	Interface.03	The solution should provide an interface to devices (e.g., handheld devices) that can be used to capture CA information external to the eCAF solution, and subsequently uploaded to the eCAF solution.	Optional
Operational	Business Continuity.01	It is required that the solution can be recovered from a disaster.	Mandatory
Operational	Business Continuity.02	A manual fallback procedure will need to be agreed, documented and implemented between Agency Systems and the eCAF solution in the event that the system is not available.	Mandatory
Operational	Business Continuity.03	Known single points of failure of the eCAF solution are required to be documented together with recommended actions to restore availability.	Mandatory
Operational	Business Continuity.04	Supplier(s) of the eCAF solution must define the process and dependencies (e.g. starting and stopping) for the operation of the eCAF solution.	Mandatory
Operational	Business Continuity.05	Following the eCAF solution service recovery under normal resumption, the eCAF solution must not lose data.	Mandatory
Operational	Business Continuity.06	The solution should be able to exist independently of the IS Index.	Optional
Operational	Business Continuity.07	The solution must be hosted in an appropriate data centre.	Mandatory
Operational	Connectivity.01	There is only one IS Index system to which the solution is required to connect.	Optional
Operational	Connectivity.02	There are multiple Caseworking Systems that the solution is required to communicate with.	Optional
Operational	Connectivity.03	There are multiple devices that can be used to upload CA information.	Optional
Operational	Connectivity.04	The solution needs to consider 150 Local Authority boundaries.	Optional
Operational	Data Management.01	The solution must be able to archive and purge data.	Mandatory
Operational	Data Management.02	The solution must be able to retrieve archived data so that it can be viewed by the user and then returned to archive.	Mandatory
Operational	Data Management.03	The solution must be able to retain all data dependent on business rules.	Mandatory
Operational	Data Management.04	The solution must provide a back-up facility.	Mandatory
Operational	Hardware/Software.01	The solution should support a CA that will consist of basic free-text information and will not change to include (i) additional specialist assessments, (ii) multimedia attachments, or (iii) structured assessments.	Optional
Operational	Hardware/Software.02	The solution design must acknowledge that the implementation of the Common Assessment Framework is not a mandatory legal requirement for Local Authorities and their partners and local areas may decide how to, and indeed whether to, adopt the approach developed centrally. This also applies to the solution itself because a particular system cannot be mandated for implementation.	Mandatory
Operational	Hardware/Software.03	The solution should consider existing initiatives such as FAME (Framework for Multi-Agency Environments) and the Government Connect programme.	Optional
Operational	Hardware/Software.04	The solution must provide a facility so that the data must be capable of transmission to specific Practitioners working in a wide range of statutory and voluntary organisations.	Mandatory
Operational	Hardware/Software.05	The solution should not be restricted to any single Government or Agency System or Network but must be enabled through secure systems that rely on infrastructure such as the internet.	Optional
Operational	Hardware/Software.06	The solution is not required to be a full Caseworking System. For example, there is no requirement to hold Casework history.	Optional
Operational	Hardware/Software.07	The solution must support local implementation of the CAF.	Mandatory
Operational	Hardware/Software.08	The solution must acknowledge that there are few, if any, Agency Systems that are able to pass information from one Agency System to another.	Mandatory

Non-Functional Major Category	Requirement ID	Requirement Description	Priority (Mandatory/ Optional)
Operational	Hardware/Software.09	The solution must provide flexibility in its application - the solution needs to be able to cope with variation in existing Agency solutions as well as future development of the CA and its application.	Mandatory
Operational	Network.01	The solution must provide a suitable messaging infrastructure (e.g. email) available to the Practitioners involved.	Mandatory
Operational	Network.02	The transporting of CA information using the solution must be guaranteed, that is, the message sender knows whether the intended immediate recipient received the CA or not.	Mandatory
Operational	Portability.01	The solution must be compatible with the technical environment of all Local Authorities.	Mandatory
Operational	Product Support.01	The eCAF solution is required to support the display of relevant system performance indicators. These will allow the Administrator to confirm that the eCAF solution is operating correctly.	Optional
Operational	Product Support.02	The solution must support audit trails.	Mandatory
Performance	Availability.01	It is likely that the IS Index will not be available until 2008. As a consequence, the eCAF solution will need to cater for this.	Mandatory
Performance	Availability.02	The solution must define availability standards such as operational time periods.	Mandatory
Performance	Capacity.01	The solution needs to size, for example, number of users, message volumes and message sizes.	Mandatory
Performance	Responsiveness.01	Standards need to be defined for determining the responsiveness of the solution for example, end user response times, system-to-system response times.	Optional
Performance	Scalability.01	The solution must be scalable, for example considering increase number of end-users or Agencies.	Mandatory
Security	Security.01	The solution must adhere to the security defined in the eCAF Conceptual Architecture document.	Mandatory
Usability	Access.01	The solution should provide single sign-on.	Optional
Usability	Documentation.01	The solution should provide procedural documentation for how CA information will feed into the Specialist Assessment process.	Optional
Usability	Documentation.02	National/local procedures should be created on how and when CA information will be co-ordinated so that information shared is not duplicated.	Optional
Usability	Documentation.03	System support procedures should be agreed and documented by all organisations supporting the solution.	Optional
Usability	Documentation.04	Manuals and user guides should be provided to support all users of the solution.	Optional
Usability	Ease of Use.01	The solution must be easy to use, even for practitioners with minimal IT skills.	Mandatory
Usability	Ease of Use.02	The solution should provide support for remote access.	Optional
Usability	Ease of Use.03	The solution should conform to the established look and feel of the software in the Practitioners' environment.	Optional
Usability	Ease of Use.04	The solution must provide context sensitive help.	Mandatory
Usability	Error Handling.01	The solution must provide descriptive and uniquely identifiable error messages to the user.	Mandatory
Usability	Support.01	A solution help desk will be required to support the users.	Optional
Usability	Training.01	The users of the solution will need to be trained to use its services.	Mandatory

7.   Considerations for Case Management Systems

This section describes the considerations for Case Management Systems (CMS) that wish to interface with an eCAF system. As described in the introductory chapter, it is important to avoid "siloed working" by ensuring that CAF data is not kept private to a single Case Management System. This section explains the acceptable options for CMS integration, based on describing three levels of requirement.

Note that this is a provisional view and may evolve as the full picture of Every Child Matters systems – including the IS Index – continues to develop

7.1   Level 1 – No Integration
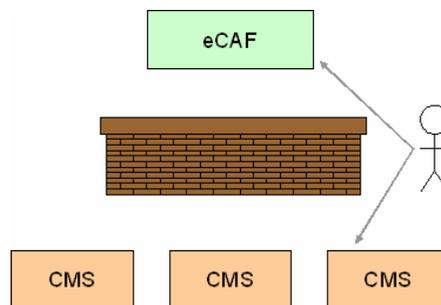
Level 1 describes no integration between eCAF and Case Management Systems. The practitioner uses their Case Management System for detailed, private casework. They use the eCAF system for shared, cross-agency working. The separation of concerns is clear and this option is, obviously, technically simple to implement.

| Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Case Management Integration - Level 1	CMS Level 1.01	The minimum requirement for a Case Management system is "no change". It is acceptable to keep eCAF and Case Management systems separate - each performing their own specialist task.	Provisional
Case Management Integration - Level 1	CMS Level 1.02	A Case Management System must NOT encourage siloed working by containing its own private facilities for completing a CAF. If CAF facilities are provided then they must be integrated at one of the higher levels listed here.	Provisional

7.2 Level 2 – Integrated Referals
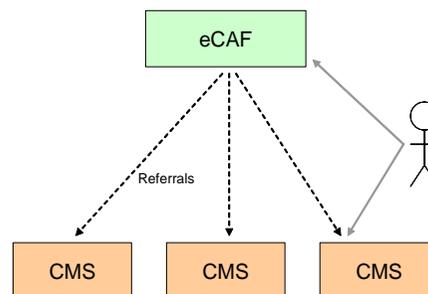
Level 2 integration is more technically complex but brings additional benefits to practitioners. It allows CAF data to be passed across to the CMS when, as a result of CA Action Planning, the child is referred. The eCAF system passes across a snapshot of the CAF data at a point in time. (This might be done by a simple file transfer or via a more sophisticated web-services interface). The Case Management System imports the CAF data, transforms it as necessary, and uses it to pre-populate its own specialist assessment.

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Case Management Integration - Level 2	CMS Level 2.01	A Case Management System must provide a facility to import information from a CA Episode when a child is referred. (This avoids the need for rekeying CA Episode data)	Provisional
Case Management Integration - Level 2	CMS Level 2.02	A Case Management System must support the import of a CA Episode as an XML file, using the standard eCAF XML schema.	Provisional
Case Management Integration - Level 2	CMS Level 2.03	A Case Management System should be able to connect to an eCAF system using Web Services to automatically search for and download a CA Episode.	Provisional
Case Management Integration - Level 2	CMS Level 2.04	A Case Management System must be able to map the data items from the CA Episode into its own specialist assessment format.	Provisional

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Case Management Integration - Level 2	CMS Level 2.05	A Case Management System may choose to provide a screen that looks like the CAF form for displaying CA Episode information. If this is done then the screen must be read-only, and must make it clear that it is just a copy of the CA Episode, downloaded at a point in time.	Provisional

7.3   Level 3 – Full Integration
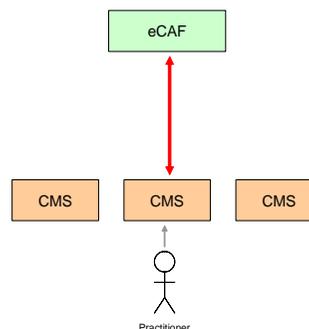
Level 3 integration allows the Case Management System to act as a complete "front end" to the eCAF system. Practitioners are able to view and update CAFs from within their existing CMS. It is important to note, however, that no eCAF data is stored locally in the CMS. Shared working is provided for by online access and update of the central, Local Authority-based eCAF database(s).

While obviously appealing, this scenario is technically advanced - making it challenging in the short-term and only an option for practitioners with access to a sophisticated Case Management System in the longer-term. Secure Web Service interfaces to eCAF will be required, and security/authentication issues will also have to be resolved.

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Case Management Integration - Level 3	CMS Level 3.01	At Level 3, then a Case Management System must be fully integrated with eCAF, providing a "front end" for access to eCAF databases	Provisional
Case Management Integration - Level 3	CMS Level 3.02	A Case Management System must be able to connect to an eCAF system using Web Services. It must be able to fetch and save CA Episode data online, thus providing an alternative "front end" for the user	Provisional

Use Case	Requirement ID	Requirement Description	Priority (Mandatory/Optional)
Case Management Integration - Level 3	CMS Level 3.03	A Case Management System must save all changes back to the central eCAF database. It must NOT encourage siloed working by saving only local copies.	Provisional
Case Management Integration - Level 3	CMS Level 3.04	At Level 3 then a Case Management System must support many of the requirements listed elsewhere for an eCAF system. It must allowing CA Episodes and CA Episode Items to be viewed and updated by providing user friendly features and by enforcing business rules	Provisional
Case Management Integration - Level 3	CMS Level 3.05	A Case Management System must be able to store the Episode Id of any CA Episode for a child, and be able to discover the location of the eCAF system to be contacted for full details.	Provisional