

Report Title:	Award of Contract for Case Management System
Contains Confidential or Exempt Information	Yes - Appendices A and B – <b>Part II - Not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972.</b>
Cabinet Member:	Cllr P Haseler, Cabinet Member for Planning, Parking, Highways & Transport Cllr S Rayner, Cabinet Member for Business, Corporate & Resident Services, Culture & Heritage, Windsor and RBWM Armed Forces Champion Cllr D Cannon, Cabinet Member for Anti-Social Behaviour, Crime, and Public Protection
Meeting and Date:	Cabinet – 15 December, 2022
Responsible Officer(s):	Andrew Durrant, Executive Director of Place Services Adrien Waite, Head of Planning Tracy Hendren, Head of Housing Environmental Health and Trading Standard
Wards affected:	All

## **REPORT SUMMARY**

This report summarises the procurement and tendering outcome of a tender for a cloud based Case Management System to support services carried out by Planning (including Trees, Conservation, Planning Appeals, Enforcement and Building Control); Environmental Health (including Housing (Residential Premises; Housing Surveys; Housing Assistance and HMO Licensing) Commercial Premises and Public Protection); Trading Standards; Licensing; Highways and by the Local Land & Property Gazetteer Custodian (Address Management).

This exercise was undertaken because the current contract is due to end in March 2024.

It recommends that a new contract is awarded to the winning bidder (Bidder A) whose bid has been considered as the most economically advantageous on the basis of the technical and financial evaluation undertaken. The new contract incorporates a specification that ensures continued service provision and that will support the Council's transformation agenda, as well as lead to improved customer experience and more efficient ways of working.

These proposals will support the Corporate Plan (2021-26) particularly in relation to 'make the most effective use of resources and delivering the best value for money' and support one of our Council values of 'invest in strong foundations'. This will be achieved by investing in information, digital and technological developments, which will enable employees to focus on service delivery, rather than less efficient business processes.

## 1. DETAILS OF RECOMMENDATION(S)

**RECOMMENDATION:** That Cabinet notes the report and:

- i) approves the award of the case management system contract to the Bidder A on the basis of a 4 year contract, with the option to extend for a further 4 years in 1 year periods. The contract is due to commence in January 2023 with go-live in March 2024 and its value is detailed in Appendix A which is Part II by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972.
- ii) approves delegated authority to the relevant Director to extend the contract beyond the initial 4 years, on a yearly basis, up to the maximum contract period of 8 years.

## 2. REASON(S) FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

### Options

**Table 1: Options arising from this report**

<b>Option</b>	<b>Comments</b>
Award the new case management contract to Bidder A to commence in January 2023 to enable mobilisation/implementation in readiness for the Go Live in Spring 2024.  <b>This is the recommended option</b>	The Council implements an appropriate case management system which would lead to improved engagement, transformed online data management and processes and a continued case management provision.
Do not award the new case management system contract to commence in January 2023.	The Council will be in breach of the Public Procurement Regulations (PCR 2015) as the Council will be out of contract and will not benefit from the proposed enhancements and transformation. Additionally, the Council will be unable to efficiently deliver statutory functions in a timely manner.

- 2.1 RBWM currently uses software supplied by Idox Software Ltd (IDOX), and this is used throughout Planning (including Trees, Conservation, Planning Appeals, Enforcement and Building Control); Environmental Health (including Housing (Residential Premises; Housing Surveys; Housing Assistance and HMO Licensing) Commercial Premises and Public Protection); Trading Standards; Licensing; Highways and by the Local Land & Property Gazetteer Custodian (Address Management). The Local Land Charges Service uses the TLC product and the CIL/S106 Service uses Exacom, both of which are provided by IDOX. The Council also uses the IDOX Document Management System.

- 2.2 The existing software solution supports the work of a range of inter-related and stand-alone services which are provided by the various departments from within Royal Borough of Windsor and Maidenhead (RBWM) Council.
- 2.3 As the previous contract period was ending in March 2022, initial market engagement was completed between August and December 2021. Five suppliers responded and three were selected to give demonstrations.
- 2.4 The response to the market engagement indicated, that based on the current market, the Authority should be moving from an on premise to a more up to date 'cloud' based, hosted option. This also aligns with the Council's IT preference of 'Cloud First' (hosted solutions) and, although the transition to this model would represent a significant change for the Authority, it is anticipated that the benefits and associated efficiencies in ways of working would outweigh any investment required. Additionally, the Council had follow-up conversations with other Authorities who have moved to a hosted model, and they confirmed that there are significant benefits to moving the upgrade work, currently carried out in house, to the provider.
- 2.5 The expiring contract had been secured by a waiver of the contract rules and an additional waiver was requested. Further non-compliance was avoided by using an established Framework for an interim period of two years, commencing April 2022. This enabled the Council to have sufficient time to develop a more comprehensive and detailed understanding of the cost of change; finalise a business case; complete the procurement exercise plus mobilise and set up a new system. In addition, as part of ongoing 'transformation' work, this allowed for a period of time to carry out customer journey and process work to ensure that any new implementation drives through efficiencies in the service areas.
- 2.6 The number of concurrent users within the relevant service areas is in the region of 120 to 140 and the system is utilised as indicated below:
- Pre-Application Enquiries
  - Development Management (i.e., the processing of all aspects of all types of planning application, and similar submissions, e.g., tree works applications, prior notifications, licencing consultation requests, certificates of lawfulness, high hedge complaints etc)
  - CIL and Section 106 administration
  - Planning appeals
  - Planning Enforcement
  - Planning Policy (i.e., monitoring and records management for datasets such as Housing allocations)
  - Tree Preservation Order Records Management
  - Listed Buildings Records Management
  - Development Monitoring

- Building Control incl Dangerous Structures and Contraventions (i.e., the processing of all aspects of all types of applications, and similar submissions)
  - Local Land Charges
  - Local Land & Property Gazetteer Management
  - Street Naming & Numbering
  - Environmental Health (food, health & safety, infectious diseases, private water supplies, private sector housing, environmental protection)
  - Community Safety
  - Licensing
  - Trading Standards
  - Highways (view only)
- 2.7 A contract notice for this procurement was placed in the Find a Tender Service (FTS) as well as on Contracts Finder. The tender was launched on 6th July 2022 with a closing date of 17<sup>th</sup> August 2022. This was extended to the 26<sup>th</sup> August at the request of a potential bidder and this was granted. The ITT was administered via the e-procurement portal (Bravo) and circa 50 suppliers visited the portal to view the ITT documents. A few suppliers formally declared that they would not bid. Two bids were submitted before the deadline. There were no late submissions.
- 2.8 The tender evaluation combined both a technical and financial evaluation in line with the published criteria and weightings (60% Technical Proposal / 40% Financial Proposal). There were a number of clarification questions asked of both bidders post submission, relating to functionalities, how they proposed to deliver the solution, what software and hosting security measures they proposed to have in place and some clarifications around the commercial terms. Both bidders gave demonstrations of their systems to representatives from the affected areas.
- 2.6 After combining both the technical and financial scores Bidder A has achieved the highest overall score and therefore it is recommended that the new contract is awarded to them. The overall scores table is included in Appendix B, which is commercially sensitive and therefore Part II by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

### **Transformational Benefits**

- 2.9 The fundamental issue facing all Local Authorities is the need to minimise service delivery costs and ensure ongoing improvements to the standard of service delivered to customers. It is anticipated that a new solution should be able to deliver a high-quality service at a reduced annual maintenance cost.
- 2.10 The support of the services by a high quality modern ‘hosted’ software solution is pivotal to providing a suitable solution, across multiple office locations including for those working remotely. It is therefore essential that “agile working” based

upon paperless case files, and mobile and remote officer connectivity to the database is available, supported by a software solution that is designed with these basic requirements at the heart of its design.

- 2.11 One of the aims of the procurement was to invite bids from suppliers who can supply a single 'hosted' software solution which could be used for all work related to the services noted above. In addition, the expectation was to future proof solutions to support an efficient set of business processes, where processing activities are automated as far as is possible and enable the best possible quality of service to be offered to the Council's customers at the least possible cost.
- 2.7 The implementation of the new case management system will be used as an opportunity to re-engineer the way in which the relevant areas can transform the services they provide to both internal and external customers.
- 2.8 The new contract should enhance specific functionality e.g. reporting, analytics, on-line public engagement, compliance and allow both managers and officers to spend less time on administrative processes in order to focus on statutory functions and key activities, such as transforming service delivery.
- 2.9 The timetable provides time for the contract to be awarded in January 2023 with go-live expected in March of 2024. This period will allow sufficient time for the implementation to be carried out.

### 3. KEY IMPLICATIONS

**Table 2: Key Implications**

<b>Outcome</b>	<b>Unmet</b>	<b>Met</b>	<b>Exceeded</b>	<b>Significantly Exceeded</b>	<b>Date of delivery</b>
New case management contract awarded	Contract not awarded	January 2023	N/A	N/A	January 2023

### 4. FINANCIAL DETAILS / VALUE FOR MONEY

- 4.1 The financial impact of the report's recommendations is commercially sensitive and is therefore included in Appendix A, which is Part II by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972.
- 4.2 All financial implications are however contained within existing resources.

### 5. LEGAL IMPLICATIONS

- 5.1 The Council has the power to take the action proposed, pursuant to Section 111 of the Local Government Act 1972 which provides powers for a local authority to do anything which is calculated to facilitate, or is conducive or incidental to, the discharge of any of their functions. The action proposed is also taken in accordance with Part 8A – Contract and Tendering Procedure Rules - of the Constitution.

- 5.2 The tender has been conducted in line with Public Contract Regulations 2015, therefore ensuring that the awarded contract and the Council is PCR compliant.
- 5.3 Procurement and Legal have been involved in this process and their advice has been followed. Both Procurement and Legal colleagues have contributed to the procurement process and can confirm that advice has been provided to ensure that this exercise is fully compliant.

**6. RISK MANAGEMENT**

**Table 3: Impact of risk and mitigation**

<b>Risk</b>	<b>Level of uncontrolled risk</b>	<b>Controls</b>	<b>Level of controlled risk</b>
New solution does not provide anticipated functionalities	MEDIUM	Representatives from affected areas produced a detailed requirements document and also evaluated the bids received and scored the bidder demonstrations as part of the evaluation process	LOW
Insufficient people resource available to implement new system and provide ongoing day to day services	HIGH	Staffing levels are reviewed, costed and sufficient resource / capacity made available as part of the implementation	MEDIUM
Key milestones not met as outlined in the programme of work	HIGH	Bidders provided an implementation plan as part of tender. Project starts promptly in new year 2023, resources mobilised and project managed robustly including regular meetings and monitoring of milestones and risk management	MEDIUM

**7. POTENTIAL IMPACTS**

- 7.1 Equalities. An Equality Impact Assessment is available at Appendix C.
- 7.2 If a future customer or officer experiences difficulties in accessing the system, then the Council in conjunction with the Supplier will review specific needs and,

if necessary, identify and implement measures to improve accessibility.

- 7.3 Climate change/sustainability. Improved automation will lead to a reduction of paperwork and introduction of efficient processes, limiting the need for paper and postage. Improved processes will transform the experience for applicants, current staff and external customers.
- 7.4 Data Protection/GDPR. Due to the levels of personal data being managed on the case management system, a draft DPIA will be completed following the outcome of the tender with details specific to the supplier.
- 7.4 Other potential impacts – There will be an impact on all officers once the new system is implemented as they will need to be trained to use the new functionality. Project team members will be in place to support and train officers.

## 8. CONSULTATION

- 8.1 A number of system users, both managers and employees have been consulted on their requirements for a new case management system to ensure that it reflects the future transformational needs of the Council.
- 8.2 A market engagement exercise was completed between August and December 2021, prior to the full tender process taking place.

## 9. TIMETABLE FOR IMPLEMENTATION

- 9.1 Implementation date if not called in is immediately. The full implementation stages are set out in Table 4:

**Table 4: Implementation timetable**

Date	Details
15/12/22	Cabinet decision to award contract
19/12 - 28/12/22	End of Cabinet call in period
w/c 3 <sup>rd</sup> January 2023	Start of Standstill Period
w/c 16 <sup>th</sup> January 2023	Contract award
February 2023	Start of implementation period
April 2023 to January 2024	Mapping, data/document extraction, data cleansing, migration and testing, live set up
March 2024	Go-live

## 10. APPENDICES

- 10.1 This report is supported by 4 appendices:

- Appendix A – Financial impact - Not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972– costing information (commercially sensitive)
- Appendix B – Financial, Technical and overall scores - Not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 (commercially sensitive)
- Appendix C - Equality Impact Assessment (EIA)

## 11. BACKGROUND DOCUMENTS

11.1 This report is supported by no background documents:

## 12. CONSULTATION

<b>Name of consultee</b>	<b>Post held</b>	<b>Date sent</b>	<b>Date returned</b>
<i>Mandatory:</i>		<i>Statutory Officers (or deputies)</i>	
Adele Taylor	Executive Director of Resources/S151 Officer	15/11/22	27/11/22
Emma Duncan	Director of Law, Strategy & Public Health/ Monitoring Officer		21/11/22
<i>Deputies:</i>			
Andrew Vallance	Head of Finance (Deputy S151 Officer)		
Elaine Browne	Head of Law (Deputy Monitoring Officer)	15/11/22	21/11/22
Karen Shepherd	Head of Governance (Deputy Monitoring Officer)	15/11/22	17/11/22
<i>Mandatory:</i>		<i>Procurement Manager (or deputy) - if report requests approval to go to tender or award a contract</i>	
Lyn Hitchinson	Procurement Manager	15/11/22	17/11/22
<i>Mandatory:</i>		<i>Data Protection Officer (or deputy) - if decision will result in processing of personal data; to advise on DPIA</i>	
Emma Young	Data Protection Officer	15/11/22	21/11/22
<i>Mandatory:</i>		<i>Equalities Officer – to advise on EQiA, or agree an EQiA is not required</i>	
Ellen McManus	Equalities & Engagement Officer	15/11/22	21/11/22
<i>Other consultees:</i>			
<i>Directors (where relevant)</i>			
Tony Reeves	Interim Chief Executive		
Andrew Durrant	Executive Director of Place	15/11/22	18/11/22
Kevin McDaniel	Executive Director of People Services		21/11/22



<i>Heads of Service (where relevant)</i>			
Adrien Waite	Head of Planning	<b>15/11/22</b>	<b>21/11/22</b>
Tracy Hendren	Head of Housing, Environmental Health and Trading Standards	<b>15/11/22</b>	<b>21/11/22</b>

Confirmation relevant Cabinet Member(s) consulted	Cllr P Haseler, Cabinet Member for Planning, Parking, Highways & Transport Cllr S Rayner, Cabinet Member for Business, Corporate & Resident Services, Culture & Heritage, Windsor and RBWM Armed Forces Champion Cllr D Cannon, Cabinet Member for Anti-Social Behaviour, Crime, and Public Protection	Yes/No
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## REPORT HISTORY

<b>Decision type:</b>	<b>Urgency item?</b>	<b>To follow item?</b>
Non-Key decision First entered into Cabinet Forward Plan: November 2022	No	No

Report Author: Sian Saadeh, Development Management Service Manager – Planning.
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