Committees: Corporate Projects Board - for decision Community and Children's Service Committee – for information Digital Services Sub Committee – for information	Dates: 31 March 2021 30 April 2021 28 May 2021
Subject: Social Care Case Management System **Unique Project Identifier:** *PV ID confirmed post CPB via PMO.*	**Gateway 2:** **Project Proposal** Regular
Report of: Director of Community & Children's Services **Report Author:** Sarah Greenwood	**For Information**
# PUBLIC	

Explanatory Note for Members: The Corporate Projects Board discussed this report on 31 March and agreed that the project may or may not require capital funding dependent upon the outcome of the procurement process. The Board agreed that the project should proceed under delegation until such a time that it was determined whether the project would reach the thresholds of the gateway process. Proceeding under delegation means that all usual Gateway reports are submitted to the Director who may then choose to share the reports with Committee for information.

Recommendations

1. **Next steps and requested decisions**	**Project Description:** IT system designed to manage the caseload for children and adults social care users with interfaces with the NHS
	Next Gateway: Gateway 3/4 - Options Appraisal (Regular)
	Next Steps:
	Development of Requirements Document/specification and soft market testing, with development of procurement options using existing local risk funding resources.
	Funding Source: potential capital funding from central City Fund reserves (dependent upon procurement process) and revenue funding from Department of Community and Children's Services local risk budget. A bid for allocation of potential capital funding will be made through the next capital bids round. Existing local risk funding will be used to progress the project to the next Gateway.
	Requested Decisions:

		1. Note the total estimated cost of the project of up to £151,100 (excluding risk and ongoing annual revenue costs); 2. Approval for a staff cost budget of £1,500 to proceed to the next Gateway to be funded from within existing local risk resources.
2. Resource requirements to reach next Gateway		

Item	Reason	Funds/ Source of Funding	Cost (£)
Staff costs	Development of required specification, Market engagement and options appraisal	Existing Local risk funding	£1,500
Total			

Costed Risk Provision requested for this Gateway: None (as detailed in the Risk Register – Appendix 2)

3. Governance arrangements	1. Community and Children's Services Committee are responsible for oversight of statutory social care delivery within the City. *2.* The project board consists of the Mosaic Advisory Board (overseeing the delivery of the current contracted solution) chaired by Chris Pelham the Assistant Director for People's Services (the Senior Responsible Officer) and with additional representation from IT, Comptroller and City Solicitor and City Procurement. The project will be managed by the Commissioning Manager Sarah Greenwood. *3.* The Digital Services Sub (Finance) committee will also receive Gateway reports and the City Procurement IT Category Board will sign off the Options report prior to Gateway 5

Project Summary

4. Context	1. The City of London Corporation (CoLC) has a statutory duty to provide social care services to children and adults including those with disabilities, caring responsibilities, special educational needs or at risk of abuse. The statutory duty includes the submission of statistical and data return to the Government Departments of Education and Health and Social Care.

		2. The CoLC's duties are governed by legislation including the Health and Social Care Act 2012, Mental Capacity Act 2005, Care Act 2014 and the Children and Families Act 2014 and regulated by Ofsted (children's services) and the Care Quality Commission (adults services). As regulators of social care services Ofsted/ CQC interrogate and scrutinise the quality of the social work practice through evidence recorded on a case management system. 3. The CoLC discharges its statutory duties through the Department of Community and Children's Services' (DCCS) Children and Families, Education and Early Years and Adults Social Care Teams and works with a wide range of partners including the NHS, Clinical Commissioning Group and Hackney's Emergency Duty Team to support adults and children in receipt of social care services. 4. DCCS uses a case management system to manage its social care activites, to share information with partners, provide integrated care with other agencies, report on performance and progress (to internal management, Members, regulatory bodies, Government departments and service users) and to plan services. 5. The five year contract for the current solution (Mosaic, provided by Servelec) ends in October 2022 and cannot be extended. A compliant procurement exercise must now be completed for an IT solution post October 2022. 6. The social care case management system enables service users to have joined up services where relevant and approved professionals can access care records (including social care workers, mental health professions, virtual school head and out of hours social work teams).
5.	**Brief description of project**	1. The project is the commissioning and procurement of a new contract to provide an IT system designed to manage the caseload for children and adults supported through DCCS, including the interface with the NHS system. 2. The project is also inclusive of scoping requirements, developing and designing an appropriate specification, mobilisation and migtration of data (if required) to the new system 3. The project will consider the combining of at least one other contract (Resource Allocation Solution) which calculates lengths and costs of care plans and estimates including within this report combine contract costs of all contracts
6.	**Consequences if project not approved**	Without a case management system, the CoLC would be unable to deliver its statutory functions satisfactorily or safely. To meet basic requirements of maintaining a list of clients, the CoLC would need to develop another solution, most likely an excel spreadsheet hosted internally. This is not compatible with the City's strategy of 'buy not build', nor the expectations of the

		regulatory bodies and would significantly increase safeguarding risks for vulnerable children and adults.
7.	**SMART project objectives**	1. The system enables the CoLC to deliver its statutory social care requirements and supports the CoLC's professional workflows. 2. The system has proven capability and capacity to manage the current (and future potential) caseload of the team, including flexibility to responds to changing Government and legislative requirements 3. The system enables a safe and professional experience for social care users and carers with co-ordination of records with the NHS (East London Patient Care record). 4. The solution can be configured to meet statutory reporting requirements and City data intelligence 5. The system supports mobile working on a variety of devices
8.	**Key benefits**	1. The CoLC continues to be at the forefront of excellent social work practice and is recognised by such by regulatory bodies. 2. Accurate data dashboards detailing past and future performance trends leading to improved practice 3. Professional users and recipients of social care services enjoy an enhanced digital experience
4.	**Project category**	2. Statutory
5.	**Project priority**	A. Essential
6.	**Notable exclusions**	There is not requirement for an interface between the system and Oracle or CBIS.

Options Appraisal

7.	**Overview of options**	1. Sharing a system with another local authority (e.g. Hackney although Hackney's ability to partake has been hampered by their cyber attack) 2. Open tender (including through a framework) 3. Combining with other existing IT systems within the City of London Corporation 4. Combining a number of other contracts and requirements to achieve value for money/savings 5. Not utilise a software solution - whilst this remains an option, it would not meet any statutory or regulatory requirements and therefore has essentially been discounted as a credible option All options will be considered during the City's procurement process and development of the options appraisal form PT3

Project Planning

8. Delivery period and key dates	**Overall project:** A timeframe of 18 months to allow for commissioning and procurement activity, and potential migration of data to a new system should the current supplier not be successful in the tender process.	
	Key dates:	
	Gateway 3/4: September 2021	
	Capital Bid Round submission for capital funding: Summer 2021	
	Invitation to tender: December 2021	
	Selection of contractor: April 2022	
	Data Migration: May 2022 – September 2022 (period may not be required if existing supplier is winning bidder)	
	New system go live : October 2022	
	Other works dates to coordinate: Potential other IT system changes (to be confirmed with IT colleagues).	
9. Risk implications	**Overall project risk:** Medium	
	Key risks include	
	Safeguarding: the system not meeting statutory or good practice requirements	
	Contractual: the market is too small, or there are no bids for the contract	
	Technological: the system is not sufficiently flexible to meet future statutory or City of London requirements, the system is not mobilised adequately in time for the contract to be required	
	Financial: insufficient capital funding to enable the contract to proceed (capital funding is only required if the current provider is not the provider of the new contract).	
	Further information is available within the Risk Register (Appendix 2)	
10. Stakeholders and consultees	1. Social Care and Education and Early Years professionals working within DCCS and the NHS 2. Systems Manager within DCCS 3. Adult and children social care users 4. IT - Business Partner and Infrastructure Architect (engaged via IT PMO) 5. City Procurement – Procurement Operations Manager and IT Category Board 6. Comptroller and City Solicitor (via City Procurement) 7. Chamberlains	

Resource Implications

11. Total estimated cost	**Likely cost range (excluding risk):** Lower range estimate: £0 one-off/capital + £337k of annual revenue costs of the current system and the Resource Allocation System (currently a separate contract) but no capital/data migration costs if current provider is the successful bidder. Upper Range estimate: £151.1k one-off/capital + £337k (as lower range plus capital costs of project management, migration of data and interface functionality developed during the contract including interface functionality with NHS). Estimated upper range costs are based on the the current contract costs and assume migration to a new system is required. Should the current provider be the winning bidder for the tender, no one-off/capital costs would be incurred and no capital funding would be required. To this end, a speculative capital bid will be made in 2021 (as part of the 2022/23 annual capital bid round) for potential one-off/capital funding, the need for which is entirely dependent upon the outcome of the procurement process. As a system is undoubtedly required, work completed at this stage is not abortive and funded entirely through existing local risk budgets.

One-Off/Capital Costs:	*£151,100*
System Capital costs (initial training, data migration	*£ 59,000*
External project management (mobilisation, workflow customisation and report configuration)	*£ 84,600*
Internal Project Management etc	*£7,500*
Revenue Costs:	*£337,500*
System revenue costs (5 years)	*£237,500*
Resource Allocation System total	*£100,000*
Total (5 year whole life cost)	*£488,600*

12. Funding strategy	Choose 1: Partial funding confirmed Choose 1: Internal - Funded wholly by City's own resource

Funds/Sources of Funding	**Cost (£)**
Central funding (if required) from City Fund Reserves to be requested via the 2022/23 annual capital bid process	£143,600

Staff costs from existing local risk resources	£7,500	
Total One-off/Capital	**£151,100**	
Local risk revenue funding (ongoing revenue costs)	£337,500	
Total (5 year whole life) cost	**488,600**	

Should the existing system service provider be the preferred supplier, there would be no one-off/capital costs. However, if the procurement process identifies an alternative provider then central funding from City Fund reserves would be required for the cost of transitioning to a new system. Therefore, a capital bid will be submitted as part of the 2022/23 annual capital bid process to cover this eventuality, which would materialise in 2022.

The pre-gateway 5 costs will all be met from within existing local risk resources

13. Investment appraisal	An options appraisal will be considered by City Procurement in line with the City Procurement Code. In order to ensure value for money the steering group will consider a longer contract period.
14. Procurement strategy/route to market	The project is included within the City Procurement's sourcing plan for 2021/22 and a PT 2 (procurement request form) has been submitted. Potential routes to market include the use of a call off framework, open tender or a joint procurement within another Local Authority and more details will be included at Gateway 3/4.
15. Legal implications	A Data Protection Impact Assessment and Data Processing Agreements will be completed as part of the procurement process to ensure the solution is compliant with GDPR The specification will include the relevant statutory requirements for social work practice, data submissions to Government bodies and data security. The Comptroller and City Solicitor will be included within the steering group to draw up legally compliant terms and conditions and the procurement process will be led by City Procurement to be compliant with all Public Contracting Regulations as outlined in the City's Procurement Code
16. Corporate property implications	None
17. Traffic implications	None

18. Sustainability and energy implications	None
19. IS implications	The specification for the service will include all IS requirements including hosting and security. An Opportunity Outline form for the IS Project Management Office has been completed and submitted to identify IS resources for the procurement. An IS representative is on the Project Board and has supported the development of the Gateway documents.
20. Equality Impact Assessment	An equality impact assessment will be undertaken
21. Data Protection Impact Assessment	The risk to personal data is high and a data protection impact assessment will be undertaken

Appendices

None

Background documents

Project Briefing
Risk Register

Contact

Report Author	Sarah Greenwood
Email Address	Sarah.greenwood@cityoflondon.gov.uk
Telephone Number	020 7332 3594