

**Specification:**

**Case Management Solution for the Housing First Team**

# Who are we?

The Combined Authority’s area is that covered by the local government areas of the principal councils of Halton, Knowsley, Liverpool, Sefton, St. Helens and Wirral.

The Combined Authority is a local authority in its own right. It has eight members, being

* A directly elected Mayor;
* a councillor (elected member) appointed by each of the ‘Constituent Councils’, being the principal councils for Halton, Knowsley, Liverpool, Sefton, St. Helens and Wirral; and
* a member, who is non-voting, appointed by the Local Enterprise Partnership.

The Combined Authority is subject to overview and scrutiny and also audit by statutory committees made up of councillors from the Constituent Councils and others.

The Combined Authority will also appoint officers, some directly employed and some seconded from the Constituent Councils, to whom delegated authority is granted to help fulfil the Combined Authority’s functions. A small number of the Combined Authority’ officers are required to be appointed by law to fulfil certain governance or statutory functions in relation to the Combined Authority.

Merseytravel, as the Passenger Transport Executive, is a body corporate that holds the status of an officer of the Combined Authority when fulfilling its delegated functions.

# Background

In May 2018, the Liverpool City Region Combined Authority was awarded £7.7 million to pilot a housing first programme across the Liverpool City Region (LCR) as part of the Government’s national strategy to end rough sleeping and tackle homelessness. The Housing First programme is intended, in conjunction with existing programmes throughout the Liverpool City Region.

Housing First is an internationally recognised evidence-based approach using independent stable housing as a platform to enable individuals to begin recovery and move away from homelessness. This is achieved through the provision of intensive flexible and person-centred support.

Housing First is currently being delivered on a small scale, on a test and learn basis. Work is now happening at pace to deliver the full project, beginning at the beginning of October 2020. The service is to deliver Housing First to 360 service users over a 2 year period to people experiencing chronic homelessness across the Liverpool City Region (Halton, Knowsley, Liverpool, Sefton, St Helens, and Wirral). Staff will be based in a specific area and will provide intensive and flexible support to their service users to obtain housing and then maintain and flourish in their tenancy. One key principle of Housing First is choice and control for the service user, so intensive support will look very different day to day, depending on what the service user would like to do. Support workers need to be flexible, and adaptive, as well as needing to travel across their area to support their service users.

Whilst Housing First is a 2-year pilot, it is hoped that Housing First will be adopted as national policy and service continued and integrated into the current commissioned services across the LCR. Key to this is the ability to demonstrate the success of Housing First to both funders and partners.

Housing First doesn’t currently have a dedicated case management system, and as delivery scales up, it is essential that the Housing First service has a case management system that is simple to understand and use, especially on the move, and is quickly and accurately be able to record all the work completed by the service with a specific service user and demonstrate success through clear and thorough reports.

It will also act as a service management tool allowing for the prioritisation of cases for particularly vulnerable clients and allow support workers and management to manage workloads providing detailed information and support documentation for each case the system handles.

# Technical Requirements

Operational Delivery of the wider project will commence October 2020, hence the case management system will need to be in place by the 31st October by the latest.

This solution will be used by all Housing First colleagues (approximately 53 members of staff) as the primary case management system to support them to provide support to their service users. We require a solution that must meet the following:

* 1. Compatible with current operating systems (currently Windows 10). Solution needs to be licenced and compatible for use on virtual machines as well as standard PCs/Laptops.
  2. Compatible with modern browsers including the current version of Microsoft Edge. Must be available via mobile devices – either through an iOS or Android compatible application or via web browser on mobile or tablet.
  3. Available 24/7, allowing for case management or review out of business operating hours.
  4. Provide data retention through archive and deletion to allow for the adherence to the LCRCA Records Management Policy and Procedures.
  5. Has data retention processes automated where possible whilst still allowing for manual archiving or deletion, including the removal of individual records.
  6. Allows for the automatic archive/deletion timescales/retention period to be updated by administrators.
  7. Is flexible with regards to adding or removing user licences as business requirements change.
  8. Has clearly defined maintenance windows – any maintenance over and above these should be communicated to users with 1 weeks’ notice.
  9. Has proactive monitoring with alerts sent to users in the event of any outage or loss of performance.
  10. Has the ability for LCRCA administrators to continue customisation following the launch of the case management system.

In addition to the above requirements it would be beneficial if the solution offers a Single Data import capability (preferably from a CSV format file) from our current system (MainStay), complying with GDPR. Data includes, but is not exclusive to, demographic data, and, risk and support data. Data to be migrated to the new system during the build phase.

# System Requirements

The solution must deliver on the following basic requirements:

### Interface

*Key to the success of the case management system procured is the ease of staff to use the system to its full potential. Clear, intuitive, logical layouts, and navigation, containing all relevant information, will support staff in ensuring that all relevant information is recorded and captured. Whilst most of the work by staff will be completed on a laptop, to make sure staff are able to make the most of their time, it would also be vital to have a system that translates in a similarly clear way to staff work phones (working on apple systems).*

* + 1. A visually dynamic tool and simple interface, to aide in comprehensive support of a service user, and, service user and case manager discussions.
    2. Comprehensive dashboard per staff member showing, including, but not exclusive to, incidents, tasks/meetings for the day, alerts, checkpoint triggers, outstanding actions, current case load.
    3. Comprehensive case page per service user including, but not exclusive to, basic demographic data, latest support, and safety inclusion plan, tasks, events, safeguarding alerts, housing status, personalisation budget progress.
    4. Visual alerts in real time (for example banners or icons) whilst in the system to alert staff members as to when action is needed, as specified by our service, such as safeguarding logs, incidents, and/or risk assessment reviews.
    5. Clear and easy navigation of the functionality of the system that reduces the risk of user error.

### Service User Cases

*All staff must able to record all the work undertaken with a service user from referral, to assessment, to ongoing support, to becoming a dormant case.*

*Dormant cases are for service users who feel they no longer require the intensity of support provided by Housing First, however, are able to ‘re-activate’ if and when they require.*

* + 1. Record and track referrals into the service, and subsequent assessment, which should also be accurately recorded with the ability to translate information from this process into reports.
    2. Assess, document, and report on risks (safety and inclusion), needs and support associated with each service user, customisable to the needs of Housing First including checkpoints for review and approval by senior staff. Notification of when checkpoints, tasks or any other step in the case workflow has been missed or requires further action.
    3. Update a case through a workflow with standardised tasks such as regular checks on service users.
    4. Service user goal and progress tracking and the ability to report on the progress and outcome of the service users’ journey both specific to the service user goals and organisational reporting requirements.
    5. Clear, and thorough recording of incidents, safeguarding concerns and safeguarding events against service users and their cases with appropriate triggers to alert other (including senior) staff upon completion. This should be able to customizable to meet the needs of the LCRCAs internal safeguarding policy.
    6. Time management (ability to track support time per service user) on cases throughout the system to demonstrate capacity, support given and inform strategic of the service and future commissioning across the Liverpool City Region.
    7. Record of daily support and case notes in regards to each service users case.
    8. Uploading of documents as attachments, specific for service users to their case record.
    9. Record any relevant partner agencies working with a service user including contact details.
    10. Ability to automate the setting of ‘template tasks’ based on trigger criteria, such as safeguarding concerns and events.
    11. Ability to assign, record, track and report on the housing status of each service user

(for example: Status = Housed, with the subsequent details of:

* Date of Move in,
* Address,
* Landlord,
* Landlord Contact Details

or Status = Viewing, with the subsequent details of

* Time and Date of Viewing,
* Address of Property,
* Landlord,
* Landlord Contact Details,
* Outcome of Viewing)
  + 1. Ability to record, track and report on daily welfare checking of each service, with the subsequent alert to senior members of staff if a service users welfare have not been established.
    2. Ability to record, track and report on spend per service user in their case in line with the personalization budget policy at the Liverpool City Region Combined Authority, with appropriate authorisation alerts to senior members of staff alongside the approvals levels documented in the policy. Recording of spend should include, but not be exclusive to, for example:
       - Method of spend
       - Category of spend
       - Amount of spend
    3. Ability to customise forms specific to the service including, but not restricted to referral, assessment, safety and inclusion, support and safeguarding forms
    4. Ability to have an external facing referral form able to be completed by non-Housing First members of staff, which is also able to be linked to various different websites.

### Reporting

*We want a service that is underpinned and informed by quality data to enable performance management and success. We will need a system for which reporting is clear and already transformed into dynamic graphics within the case management system to empower all staff (with a range of familiarity with IT system) to use data to underpin their work, as well use with a team and service as a whole. We will need a variety of pre-prepared visual reporting templates to aid senior decision making on performance and support worker service user management.*

* + 1. Creation and extraction of a wide range of clear, comprehensive reports.
    2. Reports should be visible in a dashboard, displaying a variety of repot in a graphical format with the ability to view and extract supporting raw data
    3. The process of producing reports, and reports produced are both simple and clear.
    4. Reports should be exportable in a useable format such as Excel, CSV, or PDF.
    5. Standard templates of reports should be available.
    6. Users/Administrators should have the ability to create new report templates as and when required.

### Data Management

* + 1. Quickly search and locate existing service user cases within the system using data criteria such as incident number, address, support worker, service user name.
    2. Archive cases and restore service user cases:
       - Once support has become dormant,
       - Or, if removed due to duplication,
       - Or, Created or deleted in error

4.4.3. Has access restrictions policies - Users must only be able to access the system if they have been provided with credentials. Access should ideally be via single sign-in using the users’ Active Directory credentials. Role based access permissions should be available for services and reports.

# Hosting

## Hosting set-up

The set-up phase of the Hosting Services includes those services provided by the Supplier to design, install, configure and test the Hosting Services, as well as the hosting facility and connectivity.

## Installation and configuration

The Supplier will:

## procure, install and configure the hosting equipment as set out in the Project Plan to provide access to the Software. This includes the rack mounting of servers and related equipment where applicable, installation of system and database software components, configuration of clustering and cross-connects, installation of the Software, and loading of initial Customer Data; or

## contract with a suitable third party to provide the hosting services.

## Facility

## Physical servers hosting the solution must be in the EU or be GDPR compliant if hosted elsewhere.

## Where applicable Data Centers hosting the solution should be ISO27001 compliant.

## Load distribution management

Where applicable the Supplier shall provide or shall procure that the third party supplier provides load-balancing services to distribute load and redundancy across application servers.

## Security services

Where applicable the Supplier will provide or shall procure that the third party supplier provides security services as follows:

* + 1. facility access shall be limited to the authorised Supplier and contracted third-party personnel;
    2. the facility shall be monitored 24 hours a day, seven days a week through closed circuit video surveillance and shall require identification for access; and
    3. data access security shall be provided through managed firewall services with security on all web pages, a private network path for administration and SNMP monitoring, and fully hardened servers.

## Monitoring services

The Supplier will provide or shall procure that the third party supplier provides, 24/7 monitoring of service availability and capacity with alerts sent in the event of outages.

## Back-up, archiving and recovery services

The Supplier will develop or shall procure that the third party supplier develops the back-up Schedule, perform scheduled back-ups, provide routine and emergency data recovery, and manage the archiving process. The back-up Schedule will include at least weekly full back-ups and daily incremental back-ups. In the event of data loss, the Supplier will provide recovery services to try to restore the most recent back-up.

## Release management and change control

The Supplier will provide or shall procure that the third party supplier provides release management and change control services to ensure that versions of servers, network devices, storage, operating system software and utility and application software are audited and logged, and that new releases, patch releases and other new versions are implemented as deemed necessary by the Supplier to maintain the Hosting Services. The Supplier will ensure that each new release Mitigates against any Known Vulnerabilities or Latent Vulnerabilities affecting the Software or Services since the last new release was implemented.

## Administration services

## Where applicable these services include the installation and administration of additional hardware, operating system and other software, and other resources as necessary to maintain the Hosting Services.

# Maintenance and Support

### Training

*We know the importance of training all our staff to be fully equipped to use the case management to its full functionality. We are committed to provide our staff with all the knowledge and expertise they need for this case management system to aid their work, rather than detract from the vital support they provide. We know that our staff will learn in different ways, and at different paces, and for us, and therefore we require:*

* + 1. High quality systems training for all users should supplied by the service provider with scope to revert to in-house training in the future. Training should be delivered in a timely manner in regards to the launch of the service. Initial training should be for around 53 members of staff.
    2. Training should also be available for any significant customisation and upgrades to the system post launch.
    3. User guidance should also be available for the system for basic tasks such as case creation and deletion, ideally documented user guides should be available for these tasks, including any custom elements.

### Maintenance Events

Maintenance of the hosting equipment, facility, Software or other aspects of the Hosting Services that may require interruption of the Hosting Services (Maintenance Events) will not be performed during Normal Business Hours. The Supplier may interrupt the Services to perform emergency maintenance outside normal business hours, UK Time, where possible. In addition, the Supplier may interrupt the Hosting Services outside Normal Business Hours for unscheduled maintenance, provided that it has given the Customer at one week’s advance notice. Any Maintenance Events that occur during Normal Business Hours, and which were not requested or caused by the Customer, shall be considered downtime for the purpose of service availability measurement. The Supplier will at all times use all reasonable endeavours to keep any service interruptions to a minimum.

## Maintenance

* + 1. Maintenance includes all regularly scheduled error corrections, software updates, hardware updates and those upgrades limited to improvements to features described in the Software Specification. Support for additional features developed by the Supplier, as requested by the Customer, may be purchased separately at the Supplier's agreed professional services rate.
    2. The Supplier will maintain and update the Software. Should the Customer determine that the Software includes a defect, the Customer may at any time file error reports and the Supplier shall promptly correct any errors in line with agreed SLAs. During maintenance periods, the Supplier may upgrade versions, install error corrections and apply patches to the hosted systems in line with the appropriate approval and notice period agreed with the Customer. The Supplier shall use all reasonable commercial endeavours to avoid unscheduled downtime for Software maintenance.

## Technical support services

## UK based support including Root Cause Analysis (RCA) of issues after they have been investigating.

* + 1. The Supplier shall provide the Customer with technical support services. The Customer’s IT team shall be authorised to contact the Supplier for technical support services. The Supplier shall handle support calls from the Customer's IT team and shall maintain continuity of knowledge of the Customer account history.
    2. Supplier technical support shall accept voicemail, email and web form-based incident submittal from the Customer IT team 24 hours a day, seven days a week. The Supplier technical support call centre shall accept calls for English language telephone support during Normal UK Business Hours. The Supplier should use ticket tracking numbers, determine the source of the problem and respond to the Customer. The Supplier technical support call centre shall respond to all support requests from the Customer within the time periods specified below, according to priority.
    3. The Customer IT team and Supplier technical support shall jointly determine the priority of any defect, using one of following priorities:

|  |  |  |  |
| --- | --- | --- | --- |
| **Priority** | **Description** | **Response time** | **Target resolution time** |
| **Priority 1** | The entire Service is "down" and inaccessible. Priority 1 incidents shall be reported by telephone only. | Within half a Normal Business Hour. | Four Normal Business Hours. Continuous effort after initial response and with Customer co-operation. |
| **Priority 2** | Operation of the Services is severely degraded, or major components of the Service are not operational, and work cannot reasonably continue. Priority 2 incidents shall be reported by telephone only. | Within one Normal Business Hours. | Within eight Normal Business Hours after initial response. |
| **Priority 3** | Individual user is impacted by severely degraded service, or multiple users are impacted by moderately degraded service. | Within 4 Normal Business Hours | Within 3 Business Days after initial response. |
| **Priority 4** | Certain non-essential features of the Service are impaired while most major components of the Service remain functional. | Within 12 Normal Business Hours. | Within seven Business Days after initial response. |
| **Priority 5** | Errors that are non-disabling or cosmetic and clearly have little or no impact on the normal operation of the Services. | Within 24 Normal Business Hours. | Next release of Software. |

* + 1. If no progress has been made on a Priority 1 or Priority 2 incident within the relevant target resolution time specified in the table set out in paragraph 6.4.4, the incident shall be escalated to the Manager of Supplier Technical Services. If the incident is not resolved, then after each successive increment of the relevant target resolution time (for example, four Business Hours for a Priority 1 incident, eight Business Hours for a Priority 2 incident), the incident shall be escalated to the Director of Supplier Technical Services, followed by the CEO.
    2. The Supplier shall provide monitoring of its Hosting Services as described in paragraph 5.6 above 24 hours a day seven days a week. The Supplier shall directly notify the Customer IT team of Maintenance Events (as defined in paragraph 6.2 above) that may affect the availability of the Hosting Services.
    3. The Customer shall provide front-line support to Authorised Users who are not the Customer IT team. However, the Customer's IT team may contact Supplier technical support in order to report problems from Authorised Users that the Customer’s cannot resolve themselves after they have performed a reasonable level of diagnosis.
    4. Before the Supplier makes changes to the Software, the Supplier shall provide notice to the other in order to ensure the continued operation of any integration interfaces affected by such changes and adherence to the Customer Change Management processes. The Supplier shall provide the Customer with at least 1 week advance notice of such changes. Such notice shall include at least the new interface specifications and a technical contact to answer questions on these changes. The Supplier shall also provide full integration testing prior to releasing to the Customer and will provide support services to ensure smooth transition from the previous interfaces to the new interfaces.

# Service Level Arrangements

## Service availability

The Supplier shall provide at least a 99.5% uptime service availability level (Uptime Service Level). Availability does not include Customer-caused outages or disruptions or outages or disruptions to *force majeure* events within the meaning of clause 16.

## Availability measurement

All measurements are performed at one-minute intervals and measure the availability of an availability test page within the Software within ten seconds. Availability measurement begins on the 11th day after the Acceptance Tests have been successfully passed. Availability measurement shall be carried out by the Supplier and is based on the monthly average percentage availability, calculated at the end of each calendar month as the total actual uptime minutes divided by total possible uptime minutes in the month. The Supplier shall keep and shall send to the Customer, on request, full records of its availability measurement activities under this agreement where (i) "actual uptime minutes" is the number of minutes during which the Services complied with the Software Specification and (ii) any minute during which the Services did not so comply is not considered to be an actual uptime minute.

## Service credits

* + 1. If availability falls below the Uptime Service Level (as defined in paragraph 1 of Schedule 7) in a given calendar month (Service Delivery Failure), the Supplier shall credit the Customer's account by an amount calculated as the product of the total cumulative downtime (expressed as a percentage of the total possible uptime minutes in the month concerned) and the total Monthly Hosting Fee and Monthly Software Licence Fee owed for that month (Service Credit).
    2. The maximum Service Credit allowable in a given month is limited to an amount equal to the total Monthly Hosting Fee and Monthly Software Licence Fee owed by the Customer for that month.
    3. Both parties acknowledge and agree that the terms of this Service Level Arrangement relating to Service Credits are not intended to operate as a penalty for the Supplier's non-performance or as the Customer's full and exclusive right and remedy, or the Supplier's only obligation and liability in respect of the performance or availability of the Services, or their non-performance or non-availability.

# Supplier's network and information systems security

## Security of systems and facilities

* + 1. The Supplier should have in place policies for managing information security, including risk analysis, human resources, security of operations, security architecture, secure data and system life cycle management and, where applicable, encryption and its management.
    2. It should have measures to protect the security of its network and information systems from damage using an all-hazards risk-based approach, addressing for instance system failure, human error, malicious action or natural phenomena.
    3. It should have measures to ensure the accessibility and traceability of critical supplies used in the provision of the Services.
    4. It should have measures to ensure that the physical and logical access to network and information systems, including administrative security of network and information systems, is authorised and restricted based on business and security requirements.

## Incident handling

* + 1. It should have detection processes and procedures for ensuring timely and adequate awareness of anomalous events and details of the ways in which it maintains and tests these processes and procedures.
    2. It should have processes and policies on reporting incidents and identifying weaknesses and vulnerabilities in its information systems.
    3. It should have procedures for assessing the severity of a security incident, documenting knowledge from incident analysis which may serve as evidence and support a continuous improvement process.

## Business continuity management

* + 1. It should have contingency procedures for ensuring business continuity for the websites its Suppliers and details of the ways in which it regularly assesses and tests these.
    2. It should have disaster recovery capabilities and details of the ways in which these are regularly assessed and tested.

## Monitoring, auditing and testing

It should have policies on:

* + 1. Conducting planned sequences of observations or measurements to assess whether network and information systems are operating as intended.
    2. Inspection and verification to check whether a standard or set of guidelines is being followed, records are accurate, and efficiency and effectiveness targets are being met.
    3. A process (including technical processes and personnel involved in the operation flow) intended to reveal flaws in the security mechanisms of a network and information system that protect data and maintain functionality as intended.
    4. International standards
    5. Any information or policies on compliance with international standards.

# Mandatory Policies

The Mandatory Policies are:

* + - Modern Slavery and Human Trafficking Policy (if applicable)
    - Corporate and Social Responsibility Policy
    - Data and Privacy Policy
    - Ethics and Anti-Bribery Policy
    - Expenses Policy
    - Cybersecurity Policy
    - Business Continuity and Disaster Recovery Policy

**Operational Delivery of the wider project will commence October 2020, hence the case management system will need to be in place by the 31st October by the latest.**