**PRE-PROCUREMENT CONSULTATION QUESTIONNAIRE**

|  |  |
| --- | --- |
| **Organisation name:** |  |
| **Contact name for enquiries about this RFI** |  |
| **Contact position (job title):** |  |
| **Full contact address:** |  |
| **Telephone No.:** |  |
| **Email:** |  |
| **Website address:** |  |
| **Submission Date:** |  |

**Licensing & Public Protection ICT System Procurement**

To help define and develop our Procurement Strategy and support in the development of our service specification, Liverpool City Council are engaging with potential service providers of Licensing and Public Protection Systems prior to the release of any official tender documents in the Journal of the European Union (OJEU).

The aim of this questionnaire is to notify the market of our future plans and to gauge interest in this opportunity with providers of Licensing and Public Protection ICT Systems. This will support and provide Liverpool City Council with a controlled and a compliant route to market that focusses on added value through system integrated and system rationalisation.

Once we have engaged with the market and understand the types of Systems that are available a full procurement exercise will be conducted for this System.

**Background to the project**

Liverpool City Council Public Protection and Licensing Services deal with a wide range of issues including, for instance;

* Statutory Nuisance – including noise, light pollution, hazardous waste.
* Vacant Properties (enforcement of maintenance and repair).
* Private sector housing complaints.
* Trading Standards.
* Taxi Licensing.
* Street Trading Licensing.
* Premises Licensing.
* Gambling Licensing.
* Landlord Licensing
* Charitable Collections

A number of software applications are currently used to manage the services across teams including;

* Public Protection, Vacant Properties – Northgate M3.
* Licensing – IDOX (LALPAC).
* Civica LAPS
* Landlord Licensing - Civica
* Trading Standards (Civica Authority Public Protection - APP).
* Civica Ikon (processing payment)

In addition to these applications, the services also use a number of online e-forms and MS Office applications such as Excel and Word to fulfil services. Although the applications in place broadly meet many of the current business requirements, there gaps in the capability and functionality of the packages across all areas for the services we wish to provide to the people of Liverpool.

With our current contracts nearing their maximum end dates the City Council are keen to explore the possibility of implementing a single ICT System to help deliver their statutory obligations around, Public Protection and Licensing Services. It is recognised that due to the complexity of each area, identifying a single System capable of meeting all business needs may be challenging although the City Council remains keen to join up and share data across these services where possible.

**Project Goals**

Identify and implement an ICT System or number of ICT Systems to address the current business challenges listed above.

Identify and implement an ICT System or number of ICT Systems to meet the requirements listed in Appendix One with particular focus on;

* Increased availability of data across functions / service areas.
* Remote/mobile working capability
* Improved first point of contact reSystem.
* Improved availability of customer self-service and online tracking.
* Reduce contacts from customers.
* Improve reporting and business intelligence capability

**Procurement Structure**

Whilst the service requirements stated within “Appendix One” are an early indication of what we are looking to procure, the structure of this procurement will be subject to change and will be developed over time following consultation with the market and consultation with Internal Stakeholders.

**Pre-Procurement Consultation Questionnaire**

Liverpool would like to hear about your company including any views, suggestions and proposals as part of this early market engagement exercise.

Responses should be answered in two parts and done so within the text spaces below and the columns highlighted in appendix one.

Part 1: Pre-Procurement Questionnaire

Interested parties should respond to the questions outlined below sticking to the word count limit provided as part of the guidance notes. Submissions in excess of this word limit may not be read at the sole discretion of Liverpool City Council. All submissions will be treated confidentially. Please note you are **not** required to respond to all questions.

Part 2: System Functionality Verification

Interested parties should also responded to the High Level Functional and Non-Functional Requirements as outlined within “Appendix One”. Potential Providers should review each requirement and respond by confirming they can (Y) or cannot (N) meet this functionality within their proposed System. All submissions for this part will be treated confidentially. Please note you **are** required to respond to all questions within this section.

|  |  |
| --- | --- |
| 1 | **Please provide a high level overview of the System (s) you provide that meets the requirements of** **Licensing & Public Protection System?** |
|  | *300 words* |
| 2 | **What experience does your organisation have in providing Licencing and / or Public Protection Systems to local government?** |
|  | *200 words* |
| 3 | **Does your System comprise of a single System to service Licensing and Public Protection needs or is it a modular System with separate elements for each area?** |
|  | *200 words* |
| 4 | **If required, can you provide evidence of the ongoing development of your System to meet changing legislation, market trends, emerging technologies or customer demand?** |
|  | *200 words* |
| 5 | **Is your organisation accredited against any nationally recognised standards such as ISO?** |
|  | *100 words* |
| 6 | **Does your organisation provide a standard software support package to resolve faults, implement patches and updates etc.?** |
|  | *100 words* |
| 7 | **Briefly describe your preferred implementation model – e.g. on premise locally hosted, supplier hosted, cloud based etc.** |
|  | *200 words* |
| 8 | **Please describe if / how your solution is capable of hosting multiple tenants, for instance Liverpool City Council plus other authorities on the same platform with some elements of data sharing for enforcement intelligence etc.** |
|  | *200 words* |
| 9 | **Are you are happy for us to contact you directly in relation to this market engagement exercise for additional meetings/conference calls.** |
| *Yes* | *No* |
| 10 | **Please confirm if you are interested in bidding for this Opportunity and would like to be included in any future communications about the progress of this project** |
| *Yes* | *No* |

**PLEASE NOTE:**

**Any responses to this Early Market Engagement Exercise imply no commitment on Providers to engage in any subsequent procurement process, nor do they confer any advantaged status or guarantee of inclusion in any subsequent procurement process for those Providers who do respond. The questionnaire and all responses received are in no way legally binding on any party.**

**Liverpool City Council reserve the right to withdraw this notice at any time. Liverpool City Council are not bound to accept any proposals submitted by Providers and will not be liable for any costs incurred as a result of Providers engaging with this process. This Early Market Engagement Exercise does not guarantee that procurement will take place and Liverpool City Council reserves the right to defer from any procurement entirely.**

**THE DEADLINE FOR SUBMISSIONS IS FRIDAY 24TH FEBRUARY 16.00**

**Appendix One**

NB – Requirements below should not be considered as an exhaustive list. Entries illustrate the key requirements of the System. Potential suppliers would be expected to offer additional functionality and features where possible.

**Public Protection (PP) Requirements (including Statutory Nuisance, Vacant Properties, Private Sector Housing, Food Hygiene, Landlord Complaints)**

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| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can …** | **Criteria Met (Y/N)** |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| PP01 | Customer | Record the details of a complaint online or via a mobile device | Report an issue  |  |
| PP02 | PP Manager / Customer Access Advisor | Request the following information from a complainant online;* Complainant name
* Complainant address (linked to gazetteer)
* Complainant email address
* Complainant phone number
* Type of complaint (from drop down options)
* Address of the subject of the complaint (linked to gazetteer)
* Free text detail of complaint
* Upload supporting evidence (photos, sound / video files etc. – subject to size limits)
 | Capture detailed information regarding a complaint at source |  |
| PP03 | PP Manager / Customer Access Advisor | Where a subject address is not known or does not appear in the gazetteer, queue the complaint to a named work queue for review | Identify the address via other methods |  |
| PP04 | PP Manager / Customer Access Advisor | Issue an email and/or SMS confirmation including a unique case reference to the complainant once a complaint has been logged | Confirm the request has been logged |  |
| PP05 | Customer Access Advisor | Log details of a complaint on behalf of the customer | Log requests for customers who prefer not to use the online channel |  |
| PP06 | PP Manager | Have online complaints logged directly to the back end application | Begin to process the request without the need to re-key complaint details |  |
| PP07 | PP Manager / Customer Access Advisor | Have complaints lodged against the same property collated into a single case within the application | Deal with multiple complaints against the same property |  |
| PP08 | Customer | View the status of a complaint online using, for instance my email address and unique case reference number | View the status of a case without having to contact the service |  |
| PP09 | PP Manager / Customer Access Advisor | Log additional details or add supporting attachments to an open case online  | Provide additional information as necessary |  |
| PP10 | Customer Access Advisor | View / update a complaint  | Respond to customer contacts  |  |
| PP11 | PP Manager | View a configurable dashboard of all cases on system start up including, for instance;* List of new cases
* List of open cases with additional actions / updates
* List of cases approaching SLA breach (metric TBC)
* List of cases breached
* Case status
* Cases closed in last X days
* List of cases by Case Officer
 | Gain an immediate view of current workloads / statuses |  |
| PP12 | PP Manager | Have the system assign new complaints to a Case Officer based on, for instance;* Geographical location of complaint
* Case Officer workload
 | Assign cases without manual intervention |  |
| PP13 | PP Case Officer | View a configurable dashboard of all cases on system start up including, for instance;* List of new cases
* List of open cases with additional actions / updates
* List of cases approaching SLA breach (metric TBC)
* List of cases breached
* Cases closed in last X days
 | Plan my workload and daily priorities / activities |  |
| PP14 | PP Case Officer | Grade or categorise a request based on the information provided | Record the nature of the task |  |
| PP15 | PP Case Officer | Access a range of templates from within the application |  Send standard letters via email or post directly from the application |  |
| PP16 | PP Case Officer | Update the status of a case based on actions taken, for example;* Pending new case
* Assigned to Case Officer
* Initial Review Completed
* Pending - Further info required / requested
* In Progress Stage 1
* In Progress Stage 2
* In Progress Stage 3
* Closed
 | Report on the status of caseload |  |
| PP17 | PP Case Officer / Customer Access Advisor | Add standard ‘canned content’ or free text notes to a case | Update the case history |  |
| PP18 | PP Case Officer | Automatically send basic updates to the complainant following key actions | Avoid the complainant having to contact the City to request an update on the status of a case |  |
| PP19 | PP Manager | Re-assign a case to an alternative Case Officer | Manage caseloads during staff absence or leave |  |
| PP20 | PP Case Officer | Access the application via mobile device via 4G or non-corporate Wi-Fi access connection | Update cases in the field |  |
| PP21 | PP Case Officer | Access and complete a range of forms and templates from a mobile device | Complete forms and paperwork in the field |  |
| PP22 | PP Case Officer | Have data completed in the field written to the system database when a 4G / Wi-Fi connection is available | Upload forms and data completed on mobile devices to the back end applications |  |
| PP23 | PP Manager | Maintain the security and integrity of any data captured or transmitted using a mobile device | Protect corporate data and confidential information |  |
| PP24 | PP Case Officer | Take and attach photos or videos using a mobile device and attach to the case | Build comprehensive case information |  |
| PP25 | PP Case Officer(Food Hygiene) | Record food sample data in line with local / national government requirements |  |  |
| PP26 | PP Case Officer | Build case reports using key updates / correspondence from within the application | Compile case files for court or in response to FOI requests |  |
| PP27 | PP Case Officer | Receive alerts from within the system where scheduled actions are due (for instance where no response has been received following issuing of a letter) or where SLA’s may be breached | Deal with cases before they breach SLA |  |
| PP28 | PP Manager | Have all / a selection of closed tasks automatically queued to my work tray | Review / quality check case work |  |
| PP29 | PP Manager | Access a range of standard and configurable reports including, for instance;* # New cases raised
* # Cases closed
* # / % of cases at each stage
* Geographical mapping of cases
* Average case durations
* Future case load volume forecasting

 (All reports available by date range, case type, Case Officer etc.) | Report on case load and performance |  |
| P30 | Customer Access Advisor | Log additional details or add supporting attachments to an open case online - which flags to the EHO that an addition has been made | Provide additional information as necessary & a notification is sent to the EHO (rather than complete separate e-form or email) |  |
| P31 | Customer Access Advisor | Log all data within one tab (as opposed to loaded detail within separate tabs) | Information is not missed (e.g. the type of noise tab is separate and is sometimes missed) |  |
| P32 | Customer Access Advisor | Create an address within the system (as opposed to emailing over to Environmental Health for loading) | Create a log for a customer which can be traced immediately |  |
| P33 | Customer Access Advisor | Ensure that I only have to take the customer details once when searching for a customer (if the customer hasn't logged a call, the information disappears and needs to be requested / rekeyed) | Don’t have to write down / ask the customers details twice |  |
| P34 | Customer Access Advisor | Have a details tab which doesn't restrict the number of characters  | Enter enough detail to support the enquiry  |  |
| P35 | Customer Access Advisor | See an alert when a property have been completed (where the customer does not have a reference number) |  The advisor will not need to search all jobs in the system for that address until they find the correct case. |  |
| P36 | Customer Access Advisor | Have a robust choice for all drop down options within the system | There is clarity around the right option to pick for the enquiry  |  |
| P37 | Customer Access Advisor | See only tabs which are relevant for the Contact Centre / OSS Advisors | Advisors are not confused by the wealth of information on the tabs |  |
| P38 | Customer Access Advisor | Have a mobile System for my day-to-day role, to receive and complete work, which links to a live scheduling component | See a live schedule of where the workforce is / enable online booking facility |  |
| P39 | Customer Access Manager | Have a Pest Control System which provides self-service for the customer, to book a job, pay, attach documentation | Run a service with a fit for purpose end to end technological System which drives efficiencies in service and supports income generation. |  |

**Taxi Driver Licensing - New Applications / Renewals**

NB. It is assumed that Personnel Checks will continue to manage the initial part of the licensing process including proofing documents, requesting DBS verification and processing payments.

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| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can…** | *Criteria Met (Y/N)* |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| TL01 | Customer | Complete my licence application online using references provided to me by Personnel Checks Ltd | Register my application with the Licensing service |  |
| TL02 | Customer Access Advisor | Approve a licence application (based on online form submitted by applicant + data from Personnel Checks + DBS documentation) | Issue approved licences |  |
| TL03 | Customer Access Advisor | Print an approved licence | Issue approved licences |  |
| TL04 | Licensing Officer | Have applications final checked by OSS Advisors which show a DBS or other issue queued in a work tray from within the system | Check applications which require review |  |
| TL05 | Licensing Officer | Assign applications requiring review to individual users within the system | Assign work within the team if required |  |
| TL06 | Licensing Officer | View all application details including documents in connection with an application | Fully assess the application |  |
| TL07 | Licensing Officer | Confirm the acceptance / rejection of any / all of the customer documents individually | Record the outcome of each element of the application |  |
| TL08 | Licensing Officer | Where the application does not meet the required criteria – e.g. DVLA check flags a banned driver, reject the application within the system | Reject the application if required |  |
| TL09 | Licensing Officer | Record the reason for rejection and capture notes if required | Capture this data for future reference |  |
| TL10 | Licensing Officer | Where the application is rejected, have the system automatically issue an SMS and letter confirmation of the outcome | Advise the applicant accordingly |  |
| TL11 | Licensing Officer | Where all elements of the application are acceptable, record the acceptance outcome  | Confirm the application has been successful |  |
| TL12 | Licensing Officer | Have accepted applications queued to the OSS virtual work tray | OSS Advisors can print and issue licences |  |
| TL13 | Licensing Officer | Have the system automatically provide an SMS confirmation to the applicant confirming the successful outcome of their application | Advise the applicant accordingly and minimise the delay in the customer receiving their licence |  |
| TL14 | Licensing Officer | Have the system automatically provide a reminder SMS to the applicant if they do not collect their licence within 14 days | Advise the applicant accordingly and minimise the delay in the customer receiving their licence |  |
| TL15 | Licensing Officer | Have the system automatically provide a letter and email to the applicant if they do not collect their licence within 30 days | Advise the applicant accordingly and minimise the delay in the customer receiving their licence |  |
| TL16 | Licensing Officer | Have the system automatically cancel an application if the licence is not collected within X days/weeks and notify the customer of this by SMS and letter | Cancel application as required |  |
| TL17 | Licensing Officer | Where there are issues with the application, for instance a recent criminal conviction, which require a Committee Review, compile all application evidence into a Case Report | Prepare the application for Committee Review |  |
| TL18 | Licensing Officer | Produce a single page summary of the applicant details and notes to accompany the summary Case report | Provide a single page summary of the applicant and the reason for submission to Committee |  |
| TL19 | Licensing Officer | Have the system automatically produce a standard letter advising the applicant of the decision to refer to Committee Review | Advise the applicant accordingly |  |
| TL20 | Licensing Officer | Have the system compile the letter and a copy of the Case Report and email these documents to the applicant | Provide all information required to the applicant |  |
| TL21 | LCC Legal Officer | Have cases requiring Committee Review queued to my virtual work tray in the system and receive an email alert to notify me that a case has been added | Prepare the case for Committee Review  |  |
| TL22 | LCC Legal Officer | Export the case into PDF format and print the Case Report if required | Present the case to the Committee |  |
| TL23 | LCC Legal Officer | Enter details of Committee Review hearing dates into the system | Share this information with Licensing Officers |  |
| TL24 | Licensing Officer | Have the system automatically add details of a Committee Review hearing to my Outlook Calendar | Plan for the hearing |  |
| TL25 | LCC Legal Officer | Record the outcome of a Committee Review hearing as;* Approved
* Rejected
* Deferred

And capture supporting notes if required | Notify Licensing Officers of the outcome of a hearing |  |
| TL26 | Licensing Officer | Receive an alert of a hearing outcome and view the case in my virtual work tray | Process the application accordingly |  |
| TL27 | Licensing Officer | Where an application is approved at Committee Review, record the acceptance outcome and proceed as per approved application process | Confirm the application has been successful |  |
| TL28 | Licensing Officer | Where an application is rejected at Committee Review, record the rejection outcome and issue a standard letter to the applicant | Confirm the application has been rejected and make the applicant aware of the court appeals process |  |
| TL29 | Licensing Officer | Where an application is deferred at Committee Review, record the deferral and have the system automatically issue an SMS and email confirmation of the deferral to the applicant | Advise the applicant as appropriate |  |
| TL30 | Customer Access Manager | View the queue of licences awaiting printing | Manage resources appropriately |  |
| TL31 | Customer Access Advisor | Print licences and advise applicant by SMS/Email that the licence is ready to collect (licence may be posted out in which case address labelling from the system will be required) | Issue licences to successful applicants |  |
| TL32 | Licensing Officer | Produce a report to show licences with any / all elements (such as medical certificates, driving licence etc.) which are due to expire within an agreed period (e.g. next 90 days) | Send the report to Personnel Checks to carry out renewal activities |  |
| TL33 | Licensing Manager | Access a range of standard and configurable reports including, for instance;* Total number of new applications
* Applications and outcomes by location i.e. by council ward
* Number / % of applications approved/rejected by licensing team
* Number / % of applications referred to Committee
* Number / % of applications approved / rejected by Committee
* Average licence issuing timescale (days)
* Number / % applications applied for based on applicant age range, gender, ethnic group
* Number / % applications applied for based on postcode / region of City
* Number / % suspensions suspended / revoked including reason for action (based on drop down choice)
* Licensing revenue / income
* Summary of all licence applications and stage they are at e.g. “Awaiting Committee Review”, “Approved awaiting collection”, “Suspended awaiting surrender” etc.
 | Produce management reports as required |  |

**Driver Licensing – Suspensions and Revocations**

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| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can …** | *Criteria Met (Y/N)* |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| DL1 | Licensing Officer | Suspend any licence and capture the reason for suspension from a pre-defined list of reasons and capture free text notes | Suspend licences if required |  |
| DL2 | Licensing Officer | Have the system automatically notify the licence holder of a suspension by letter | Advise the licence holder as appropriate |  |
| DL3 | Licensing Officer | Revoke any licence and capture the reason for revocation from a pre-defined list of reasons and capture free text notes | Suspend licences if required |  |
| DL4 | Licensing Officer | Have the system automatically notify the licence holder of a revocation by letter | Advise the licence holder as appropriate |  |
| DL5 | Licensing Officer | Cancel any licence at any point in its validity period and capture the reason for cancellation from a pre-defined list of reasons and capture free text notes | Cancel a licence at the licence holders request  |  |
| DL6 | Customer Access Advisor | Record that the licence holder has returned their licence following suspension / revocation / cancellation | Update the licence record appropriately |  |
| DL7 | Customer Access Advisor | Have the system automatically calculate any refund owing based on set refund criteria and make payment directly to the licence holders bank account | Refund the licence holder as appropriate |  |

**Vehicle Licensing**

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| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can …** | *Criteria Met (Y/N)* |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| VL1 | Customer Access Advisor | Capture a range of vehicle data within the system including;* Vehicle make / model
* Registration number
* Category (hackney / private hire)
* Number of seats
* Owner information
 | Register the vehicle in the system |  |
| VL3 | Customer Access Advisor | Record the expiry date of key documents such as Certificate of Compliance and have the system flag the application if the expiry date is within X weeks/months  | Ensure applicants have a licence with an acceptable expiry date |  |
| VL4 | Customer Access Advisor | Approve or reject the vehicle licence application based on the evidence provided and capture notes for rejection | Deal with the application appropriately |  |
| VL5 | Customer Access Advisor | Offer a licence type based on vehicle category and age as per licensing criteria / policy | Issue the appropriate licence type |  |
| VL6 | Customer Access Advisor | I can escalate a licence application to a Licensing Officer via their system work tray | Process non-standard applications – for instance vehicles with irregular seating configurations can be dealt with by a specialist |  |
| VL7 | Customer Access Advisor | Process the relevant payment within the licensing system (fully integrated with LCC corporate solution Civica Icon)  | Process the customer payment in a single interaction |  |
| VL8 | Customer Access Advisor | Queue approved vehicle licence applications for plate printing | Vehicle licence plates can be produced |  |
| VL9 | Customer Access Advisor / Licensing Officer | Link the vehicle licence with driver and operator licences at the point of application or at any stage of the vehicle licence lifecycle | Build a database of linked licences |  |
| VL10 | Customer Access Advisor / Licensing Officer | View graphically any vehicle record and associated driver and/or operator licence holders | Provide vehicle/driver/operator information if required |  |
| VL11 | Customer Access Advisor | Where a customer wishes to replace a licensed vehicle, transfer the licence to a new vehicle subject to the replacement vehicle meeting the required criteria and documentation being provided for input/scanning | Transfer a licence to a replacement vehicle |  |
| VL12 | Customer Access Advisor | Issue a refund to the customer in line with refund policy where a customer no longer wishes to have their vehicle licensed | Refund the customer where required |  |
| VL13 | Licensing Manager | View data on the following elements by date range;* Total number of new vehicle applications
* Number / % of applications approved/rejected
* Number / % applications applied for based on postcode / region of City
* Licensing revenue / income
* Identify vehicles based on criteria such as model, age, colour, partial registration etc.
* Current / historical links between vehicle and driver / operator
 | Produce management reports as requiredIdentify vehicles to assist FOI or Police requests |  |
| VL14 | Licensing Manager | Make available a list of all licensed vehicles and linked driver / operator data via a web portal and or publishable document | Make this data public if required |  |
| VL15 | Licensing Officer | Automatically issue SMS reminders to vehicle owners X days / weeks before key documentation expires | Remind the vehicle owner appropriately |  |

**Operator Licensing**

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| **Ref.** | **As a …** | **I want to …** | **So that I can…** | *Criteria Met (Y/N)* |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| OL1 | Licensing Officer | Capture a range of applicant data within the system including;* Full Name
* Premises address incl. postcode
* Date of Birth
* Phone number(s)
 | Register the applicant in the system |  |
| OL2 | Licensing Officer | Save scanned copies of operator documentation into the system including;* Application form
* Insurance certificates
 | Record evidence as part of the application process |  |
| OL3 | Licensing Officer | Approve or reject the operator licence application based on the evidence provided and capture notes for rejection | Deal with the application appropriately |  |
| OL4 | Licensing Officer | Print an Operator Certificate and T’s and C’s documentation where an application is accepted | Provide this documentation to the successful applicant |  |
| OL5 | Licensing Manager | View data on the following elements by date range; | Produce management reports as required |  |

**Licensee Self-Service**

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| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can…** | **Criteria Met (Y/N)** |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| SS01 | Licence Holder | Securely check the status of all my licence applications and any existing licenses online including;* Licence status
* Expiry Dates (including expiry of supporting documents)
* Licence history
 | Self-service my licence accounts |  |
| SS01 | Licence Holder | Securely make changes to my contact details online including;* Change of contact address
* Change of telephone number
* Change of email address
 | Self-service my licence accounts |  |
| SS03 | Applicant | Make online application optimised for mobile and tablet access. | Register/Renew my application with the Licensing service on a mobile device. |  |
| SS04 | Applicant | Have a status/checklist on online application | So customers know where they are up to and how many stages need to be completed. |  |

**Property Licensing (HMO and Selective Licensing)**

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| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can…** | **Criteria Met (Y/N)** |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| SL01 | Licensing Manager | Allow applicant to apply for a selective licence online without the need to visit any council offices in person or the need for a phone call. Make payment with the Licensing solution fully integrated with LCC corporate solution Civica Ikon. | Reduce the resource required to process applications.Improve the user experience |  |
| SL02 | Licensing Manager | Present a list of high level Yes/No criteria list to applicants to advise them on the application process and the evidence which will be required for submission for example. | Improve the quality of applications |  |
| SL03 | Licence Applicant | Create a new user account including, for instance, the following personal details;* Title / Full name
* Home address / Correspondence address
* Post Code
* Contact numbers / email
* Account password
 | Record my details |  |
| SL04 | Licence Applicant |  ‘Log into my account’ using an email address or username and licensing system password. | Check my application status / details |  |
| SL05 | Licensing Manager | Provide secure self-service password reset functionality to applicants / licence holders. | Reduce the resource required to process applications.Improve the user experience |  |
| SL06 | Licensing Manager | Request the upload of proof of UK residency such as passport, driving licence and/or utility bill. | Progress the application |  |
| SL07 | Licence Applicant | Record the property details against corporate gazetteer for the property I wish to register using drop down options, for example;* Type of property.
* Age of property.
* Number of people living in property.
* Type of licence required.
 | Progress my application |  |
| SL08 | Licensing Manager | Request the full details of the property owner (if different from applicant) and any other interested third parties including mortgage / finance providers. | Progress the application in a compliant manner |  |
| SL09 | Licensing Manager | Request upload of property evidence documentation including, for example;Gas safe certificate (including recording start/end dates of certificate in the system). | Progress the application in a compliant manner |  |
| SL10 | Licensing Manager | Present a disclaimer to the applicant which must be completed before application is moved to payment request. | Progress the application in a compliant manner |  |
| SL11 | Licensing Manager | Present a list of Yes/No options to the applicant to check they meet ‘fit and proper’ criteria. | Progress the application in a compliant manner |  |
| SL12 | Licensing Manager | Flag any applications where responses to the disclaimer or ‘fit and proper’ check do not meet acceptance parameters. | Progress the application in a compliant manner |  |
| SL13 | Licensing Manager | Capture a range of information relating to the property in yes/no, date, pick list and free text format including, for instance;* Heating and utility details / specs
* Furniture and appliance info
* Fire precautions
* Smoke alarms
* Facilities and provisions
* Property configuration
* Tenancy management
* Gas Supply
* Location of Smoke Alarms
* Other fields TBC
 | Progress the application in a compliant manner |  |
| SL14 | Licence Applicant | Allow changes to be made to the application before progressing to payment. | Improve the quality of applications |  |
| SL15 | Licence Applicant | Save my application at any point and return to it at a later time/date by logging into my personal account. | Complete my application in several sessions if required |  |
| SL16 | Licensing Manager | Include functionality within the system to enable automatic emails to be sent to contacts within the system. | Reduce resource required to update the applicant |  |
| SL17 | Licensing Manager | Allow other users to complete applications on the applicants’ behalf. | Meet customer specific needs |  |
| SL18 | Licensing Manager | Present the cost of all applications to the licence applicant by automatically calculating and including any discounts eligible to the applicant. | Progress the application in a compliant manner |  |
| SL19 | Licence Applicant | Pay for licence applications by credit / debit card. | Complete my application |  |
| SL20 | Licensing Manager | Process all payments via the licensing system integrated with the Civica ICON corporate income system. | Process customer payments |  |
| SL21 | Licensing Manager | Provide an option of payment receipt via email and/or printed copy if requested. | Reduce resource required to update the applicant |  |
| SL22 | Licensing Manager | Review any flagged items in the system and assess all application information. | Assess any potentially non-compliant applications |  |
| SL23 | Licensing Manager | Approve / reject or escalate any flagged applications based on my assessment. | Progress the application in a compliant manner |  |
| SL24 | Licensing Manager | Approve / reject escalated applications. | Progress the application in a compliant manner |  |
| SL25 | Licensing Manager | Notify applicants of application(s) outcome via email and/or letter. | Reduce resource required to update the applicant |  |
| SL25 | Licensing Manager | Enable a single payment (online, by phone or customer present) for multiple license properties by a single applicant to link to multiple applications. | Improve the user experience |  |
| SL26 | Licensing Manager | Calculate application prices dependent on pre-set criteria within the system. | Cost licences accordingly |  |
| SL27 | Licensing Manager | The system should include the ability to record addresses from (across the UK, outside the UK etc.) | Improve the quality of applications |  |
| SL28 | Licensing Manager | Notify all interested parties linked to the property of an intention to grant a licence via email and/or letter. | Reduce resource required to update the applicant |  |
| SL29 | Licensing Manager | Allow users to register any objections to a licence via an online, secure portal including, for instance;* Personal details
* Contact details
* Reason for objection
* Upload of supporting evidence
 | Meet customer specific needs |  |
| SL30 | Licensing Manager | Have objections linked to the application and queued to a Licensing Officer for assessment. | Process objections effectively |  |
| SL31 | Licensing Manager | Approve / reject or escalate any application objections based on the Licensing Officer’s assessment. | Process objections effectively |  |
| SL32 | Licensing Manager | Approve / reject escalated applications. | Progress the application in a compliant manner |  |
| SL33 | Licensing Manager | Respond to objectors via email and/or letter. | Meet customer specific needs |  |
| SL34 | Licensing Manager | Notify final outcome of application(s) via email and/or letter;* Grant licence.
* Reject licence.
 | Progress the application in a compliant manner |  |
| SL35 | Licensing Manager | Access inspection report in the field using mobile technology | Reduce inspection resource requirements |  |
| SL36 | Licensing Manager | Notify final outcome of application(s) via email and/or letter including any licence conditions. | Reduce inspection resource requirements |  |
| SL37 | Licensing Manager | Offer and manage 21 number of day(s) objection window as per selective licensing once licence is granted. | Process objections effectively |  |
| SL38 | Licensing Manager | Queue licenced property inspections based on;* Random sampling.
* Postcode / ward area.
* Landlord(s).
* Complaints raised.
 | Process inspections to suit business needs |  |
| SL39 | Licensing Manager | Access inspection reports in the field using mobile devices and record outcomes of inspections. | Reduce inspection resource requirements |  |
| SL40 | Licensing Manager | Capture images using mobile device and upload to the licence account. | Reduce inspection resource requirements |  |
| SL41 | Public | View all licenced properties via a public facing website. | Check the status of properties |  |
| SL42 | Licensing Manager | Register a complaint online and via back office system against a property including (list not exhaustive);* Breach of licence condition.
* Landlord complaint.
* Health & Safety risk.
* Unlicensed property
 | Report an issues |  |
| SL43 | Licensing Manager | Applicant can register any change in circumstances against ‘My Account’ and/or licenced property via ‘My Online Account’. | Self-service my account |  |
| SL44 | Licensing Manager | Automatically alert licence holders of licence or licence condition changes and provide reminders for licence expiry by email/letter/SMS | Reduce resource required to update the applicant |  |
| SL45 | Licensing Manager | Validate addresses entered against an established gazetteer. | Maintain the integrity of address data |  |
| SL46 | Licensing Manager | Check applicant against internal database to check for known convictions / complaints. | Progress the application in a compliant manner |  |
| SL47 | Licensing Manager | Flag any applicants that match convictions / complaints database entries, where passport numbers are not validated or where addresses are not gazetteer validated. | Progress the application in a compliant manner |  |
| SL48 | Licensing Manager | System validation of documents uploaded and flag any applications where document uploads do not meet expected parameters. | Progress the application in a compliant manner |  |
| SL49 | Licensing Manager | Present a final summary of all personal and property application details to the applicant for review before payment is requested. | Progress the application in a compliant manner |  |
| SL50 | Licence Applicant | Cancel and delete my application before it has been submitted  | I can cancel my application |  |
| SL51 | Licensing Manager | Access a portal to view the status of my licence applications, live licences, licence and supporting evidence expiry dates etc. | Self-service my account |  |
| SL52 | Licensing Manager | Enable users to re-use personal and property application data across multiple applications. | Improve the user experience |  |
| SL53 | Public | Make online application for Temporary and Exemptions with the ability to upload evidence | Improve the user experience |  |
| SL54 | Public | Enable user to track Temporary and exemptions via their personal online account | Improve the user experience |  |
| SL55 | Licensing Manager | Ability to risk assess properties after inspection | Process inspections efficiently |  |
| SL56 | Licensing Manager | Produce statutory Notices | Process notices effectively |  |
| SL57 | Licensing Manager | Record all prosecutions/simple cautions/written warning | Process prosecutions effectively |  |
| SL58 | Licensing Manager | Create user defined reports on all aspects of Landlord Licensing including* Applications
* Complaints
* Compliance Inspections
* Prosecutions
 | Effective monitoring of scheme |  |
| SL59 | Licensing Manager/Applicant | View Licensed Properties/Unlicensed Properties on a map that is updated in real time | Enhance user/officer experience |  |
| SL60 | Licensing Manager | View all history against a property including* Licences Issued/Revoked
* Complaints
* Notices Served
* Compliance Inspections

Prosecutions | Effective monitoring of properties |  |
| SL61 | Licensing Manager | Ability to record Cat 1/Cat 2 and HHSRS Inspections | Effective Monitoring |  |

**Trading Standards**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can…** | **Criteria Met (Y/N)** |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| TS1 | Trading Standards Officer | Have access to a complete database of all businesses and premises known to the trading standards Service including;* Business Name
* Full address
* Contact details
* Proprietor / Licensee / key contact names
* Ward
* Premise Usage/Type and subsidiary usage
* Average Quantity Type
* Risk Profile in accordance with NTSB Risk Scheme
* Visit History
* Associated Names and Addresses
* Header premises
* LACORS Premise Type
* Food Standards Agency Food and Feed categories
* Linked Licence Types
* If record is Primary/Home Authority
* History of premises – complaints / service requests / prosecutions/samples / miscellaneous
 | Record, access and report on data from within the system |  |
| TS2 | Trading Standards Officer | Have all businesses and associated files e.g. complaints linked to geographical mapping and LLPG Gazetteer | Monitor and report on case activity by location / ward |  |
| TS3 | Trading Standards Officer | View all history including complaints, service request, prosecutions etc. to business properties | Gain a full picture of business or premises |  |
| TS4 | Trading Standards Officer | View all historical licences and licensing issues / amendments relating to business property types | Access this information as part of a case investigation |  |
| TS5 | Trading Standards Officer | Link any businesses or licence holders which change trading name/property location | Access this information as part of a case investigation |  |
| TS6 | Trading Standards Officer | View a high level chronology of all trading standards cases recorded against a business property | Access this information as part of a case investigation |  |
| TS7 | Trading Standards Officer | Drill down into detail to review any specific trading standard or licensing related issue | Access this information as part of a case investigation |  |
| TS8 | Trading Standards Officer | Create a new ‘service request’ based on information received from third party organisations such as the Police to trigger a new case | Create a new case in the system |  |
| TS9 | Trading Standards Officer | Record all details relevant to a new case including the upload of documents and images | Access this information as part of a case investigation |  |
| TS10 | Trading Standards Manager | Assign (or re-assign) cases to named users of the system | Manage workloads appropriately |  |
| TS11 | Trading Standards Officer | Update the case file with additional information or documentation as required | Build up case histories as cases progress |  |
| TS12 | Trading Standards Officer | Interface with local and government Trading Standards systems to automatically download and create cases for new enquiries received via, for instance the CAB | Populate system data as cases are raised |  |
| TS13 | Trading Standards Manager | Provide a self-service portal to allow third party agencies to raise a new service request or complaint, recording sufficient information required to commence casework activity | Populate system data as cases are raised |  |
| TS14 | Trading Standards Officer | Flag breaches to conditions of trading or any other issues with a property, business or licence holder | Build up case histories as cases progress |  |
| TS15 | Trading Standards Officer | Automatically record fixed penalty notices issued in the field by enforcement officers into the system | Build up case histories as cases progress |  |
| TS16 | Trading Standards Officer/Licensing Officer | Link with Civica Icon to automatically import payments made for Fixed Penalty Notices and other income e.g. poisons licences, scrap metal licences | Automatic Update of payments for fines or licences that links with corporate finance system |  |
| TS17 | Trading Standards Manager | Plan inspection / enforcement routes based on ‘hotspot’ areas of complaints or breaches and output these routes as geographical maps/route plans across all enforcement areas | Plan resources appropriately |  |
| TS18 | Trading Standards Officer | Record all details of items seized as part of enforcement activity including;* Type of item and description
* Value
* Location seized
* Storage location including area/shelf/section numbers
* Enforcement OfficerDate seized
* Disposal details
* Store full schedule of seizure and link to file
 | Access this information as part of a case investigation |  |
| TS19 | Trading Standards Manager | Produce an inventory report on all seized items in store or disposed of by date range or any of the criteria above | Meet reporting requirements |  |
| TS20 | Trading Standards Manager | Record details of all Trading Standards staff and the training completed by each staff member | Plan resources appropriately |  |
| TS21 | Trading Standards Officer | Contact businesses, properties or licence holders for targeted awareness, promotion or enforcement campaigns via email or letter | Issue bulk communications and reduce costs |  |
| TS22 | Trading Standards Officer | Record any incoming/outgoing contact via email, letter, face to face contact or phone against the business/licensees case record | Access this information as part of a case investigation |  |
| TS23 | Trading Standards manager | Record the time spent by Trading Standards staff on any individual case / investigation | Manage resources and costs |  |
| TS24 | Trading Standards Manager | Record any changes to a record or case against the Officer making the change and date changes applied | Meet audit requirements |  |
| TS25 | Trading Standards Manager | Produce comprehensive, flexible self-service reporting output from the system by data range, location, case type, case officer etc.to show, for instance;* Number of cases raised/in process/closed
* Case outcomes including prosecution % success / failure
* Case costs / penalty income
* Fixed Penalty Notices issued
* Inspection activities
* Enforcement activities
* Sampling activities
* Promotion / Awareness activities
 | Report on Trading Standards activities |  |
| TS26 | Trading Standards Manager | Publish ‘dashboard’ reports showing current case data and historical trends on data fields above | Share high level performance data across the organisation |  |
| TS27 | Trading Standards Manager | Record all instances of RIPA applications | Review all applications submitted and link associated documentation |  |
| TS28 | Trading Standards Manager | Interface with FSS (Food Standards Surveillance System) for the import of food and feed samples submitted to Public Analyst Laboratories | Automatically populate and update records for data analysis |  |
| TS29 | Trading Standards Manager | Export data from the system into 3rd party applications such as MS Word/Excel/Outlook | Evaluate and analyst data in different formats to produce charts and have the ability to automatically e-mail customers/officers cases |  |
| TS30 | Trading Standards Manager | Import Data from Microsoft Excel back into system | Alter information in Excel and import changes back into system |  |
| TS31 | Trading Standards Manager/Officers | Access system via a Citrix Platform | Work remotely and access all elements of the system |  |
| TS32 | Trading StandardsManager | Batch Creation and Deletion of different cases e.g. complaints/service request/samples | Create multiple cases and link them to the premisesBatch delete records to comply with Data Protection in accordance with LCC guidelines |  |
| TS33 | Trading Standards Manager | Produce all formal returns such as LAEMS, CiPFA, Hallmarking, Anti-Counterfeiting, IFSPUK, S.70 Weights and Measures in the prescribed format required by Central Government | Accurately provide data on work undertaken by the department and provide data in the correct format to Central Government |  |
| T34 | Trading Standards Officers | Record Name and Address associated to businesses/complaints/service requests/prosecutions etc. | View an individual or business and see all associated links to that person |  |
| TS35 | Trading Standards Officer | Letter/Report Templates to produce standard and bespoke letters and reports for export to Word/Outlook | Create and edit all letters and templates |  |
| TS36 | Trading Standards Officers/Managers | Record details of all prosecutions in relation to individuals and businesses | Access this information as part of a case investigation |  |
| TS37 | Trading Standards Officers/Licensing Officers | Create and amend workflow templates for staff to follow with prerequisites to complete before moving onto the next stage of an application | Follow step by step process for dealing with cases |  |
| TS38 | Trading Standards Officers/Licensing Officers/Street Nuisance Officers | Use mobile technology to create/update/review cases in the field | Access and create real time data linking directly with the system |  |
| TS39 | Trading Standards Officer | Ability to create user defined windows for bespoke activities | Adapt the system to encapsulate bespoke data requirements of the service  |  |
| TS40 | Trading Standards Manager | Ability to save user defined reports for data analysis | Analyse different datasets to produce management reports |  |

**Charitable Collections**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can …** | **Criteria Met (Y/N)** |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| CC01 | Customer | Apply for a charitable collection online using;* An online calendar showing available dates by ward
* An online form to capture personal / charity details (form content based on the type of charitable collection required)
* Online attachments of supporting documents
 | Apply online |  |
| CC02 | Licencing Officer | Block out calendar dates or reduce slot / ward availability | Manage slot availability and ensure only valid applications are submitted |  |
| CC03 | Licencing Officer | Have submitted applications queued for review | Review each application individually to assess suitability |  |
| CC04 | Licencing Officer | Request further info from the customer, for instance, additional supporting evidence via email from within the system | Request info as required and log the date/time the request was made |  |
| CC05 | Licencing Officer | Receive an alert to identify when additional requested information has been received | Process requests with minimal delay |  |
| CC06 | Licencing Officer | Approve / reject an application | Process an application as required |  |
| CC07 | Licencing Officer | Print a permit or a rejection letter via email from the system upon process completion | Complete the application process |  |
| CC08 | Licencing Officer | Automatically issue a permit or a rejection letter via email from the system upon process completion | Remove the requirement to print / post documents |  |
| CC09 | Customer | Submit financial statements following charitable collection activities | Comply with licence requirements |  |
| CC10 | Licencing Officer | Have the system prompt the licencee via email where financial statements have not been submitted | Chase submission without manual intervention |  |
| CC11 | Licencing Officer | Have financial returns automatically indexed to the application on receipt | Minimise manual admin  |  |
| CC12 | Licencing Officer | Access a range of reports including, for instance;* Number of approved / rejected applicants by date, type, ward etc.
* Time taken to assess / process applications
* Outstanding financial statements
* Revenue generated by date, type, ward etc.
 | Produce reports as required |  |
| CC13 | Enforcement Officer | Have access to charitable collection information in the field, for instance using a mobile device | Ensure that charitable collection activity is properly licenced |  |

**Street Trader / Street Trader Assistant Licensing**

Street trader licencing will be processed using a similar approach to other licence types – applications and supporting evidence will be submitted online and applications will be assessed / rejected be Licencing staff. The following specific requirements have been identified;

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| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can …** | **Criteria Met (Y/N)** |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| ST01 | Licencing Officer | Assign Street Trader and Assistant licences to specific stalls / trading pitches | Link individuals to trading entities or pitches |  |
| ST02 | Licencing Officer | Display the trading details and plot details on the printed licence | Carry out inspection / enforcement activities |  |
| ST03 | Licencing Officer | View all current individual licence holders assigned to a stall / pitch including traders and assistants | Plan inspection / enforcement activities, respond to complaints, FOI’s etc. |  |
| ST04 | Enforcement Officer | Have access to trader / pitch information in the field, for instance using a mobile device | Ensure that licenced traders / assistants are operating in approved locations |  |

**Integration Requirements**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Ref.** | **As a …** | **I want to …** | **So that I can…** | **Criteria Met (Y/N)** |
| *No.* | *Type of person or role who needs feature / has requirement* | *Description of what is required. Statement of the problem to be solved* | *Description of what is needed. What benefit is required if the problem is solved?* | *Potential Provider can meet this requirement within the System proposed.*  |
| IR1 | Web Developer | Have access to an API (Application Programming Interface) or other mechanism that allows bespoke integrations to be developed with the system | Develop bespoke application and services that store and retrieve data directly from the system |  |
| IR2 | Service Area and Finance Department | Integrate Licensing system with Civica Icon Income system & SAP FinancialsConfigure Licensing system in line with agreed financial structures –to be reviewed  | Provide accurate general ledger postings in SAP Financial avoiding journals and manual reconciliation Process payments and comply with PCI compliance Deal with any Payment enquiries |  |