

Report to:	Cabinet	Date of Meeting:	11 January 2018
Subject:	Procurement of an Electronic Case Management System – for Contracted Domiciliary Care Providers		
Report of:	Director of Social Care and Health	Wards Affected:	(All Wards);
Portfolio:	Cabinet Member - Adult Social Care		
Is this a Key Decision:	Yes	Included in Forward Plan:	Yes
Exempt / Confidential Report:	No		

Summary:

The purpose of this report is to seek approval to commence a procurement exercise for provision of an Electronic Case Management (ECM) System for utilisation by contracted Lead Domiciliary Care Providers.

The report also details the proposed procurement approach under Liverpool City Region (LCR) joint working arrangements and the linkage to the new Domiciliary Care contracts.

Recommendation(s):

Cabinet to;

1. Approve the commencement of a procurement exercise for the provision of an Electronic Case Management (ECM) System for a period of three years.
2. Cabinet to delegate the following decisions to the Director Social Care and Health, in consultation with the Cabinet Member Adult Social Care;
 - a. Agreeing the specification for the ECM system;
 - b. Agreeing the specific procurement process (i.e. whether to utilise an existing contract framework, or for Sefton to undertake its own process to procure the system);
 - c. The approach to be taken to funding 'open access' to the ECM system (as detailed in Section 5.5) (i.e. whether Sefton Council meets the costs or the successful ECM System supplier will be able to directly charge Service Users, Families etc. for access to the system); and
 - d. The awarding of the 'contract' following the tender evaluation exercise

Reasons for the Recommendation(s):

On 8th June 2017 Cabinet approved the commencement of a procurement exercise for Domiciliary Care services, from 1st May 2018, via Liverpool City Region joint commissioning. This process is currently being conducted jointly with Knowsley Metropolitan Borough Council.

The new contracts awarded will encompass a more outcome based model of service and will ensure a greater focus on the delivery of a quality service to Service Users.

It has been identified that the implementation of an Electronic Case Management system can support these aims by ensuring that there is better monitoring of service delivery, such as visit durations and activities conducted during those visits, thus ensuring that any complaints and issues raised can be fully investigated as the system will be able to provide real-time and verified information.

The system can also support future service delivery changes such as revising payment process and mechanisms to Providers, and wider strategic work such as analysing service delivery trends and needs.

The system will be purchased by Sefton Council for contracted Domiciliary Care Providers to implement during their initial three-year contract term. Following this the Providers will be required to fund the system for any additional period should their contract be extended.

Alternative Options Considered and Rejected: (including any Risk Implications)

The following options were considered and rejected;

1. **Contractually obliging Providers to purchase and pay for the system** – this option was rejected as it has been identified that it will be more cost effective for Sefton Council to purchase the system as opposed to Providers purchasing it who would then request an increase to their fee level. In addition, by purchasing the system Sefton Council and Knowsley Council can ensure that the same system is operated across all Providers, thus ensuring a consistency in the type of data being recorded, which can then be used to analyse trends across both Sefton and the LCR and be used to inform wider strategic work such as the quantification of the current and future demand for services. The purchasing of the system reiterates the Authorities commitment to investing in the Domiciliary Care sector and supporting providers to deliver quality services.
2. **Maintaining the Status Quo** – this was not considered a viable option as within the new Domiciliary Care contracts and service model there is a commitment to implement such a system in order to deliver the wider aims of improving the quality and monitoring of the commissioned services. At present it is difficult to effectively monitor services as this requires analysis of paper records, for example where concerns are raised concerning late/missed visits.

What will it cost and how will it be financed?

(A) Revenue Costs

Market analysis has identified that annual costs associated with an Electronic Case Management service, is likely to be in the region of £30,000 - £40,000 per annum. Therefore the cost for the initial three-year Domiciliary Care contract period will be £90,000 - £120,000.

Definitive costs will be identified as part of any procurement exercise and following the awarding of the new Domiciliary Care contracts as market analysis has identified that costs for the system will vary dependent on how many Domiciliary Care Providers the system supplier will be required to work with and how many Service Users each Providers delivers services to. The information will only be collated once the Domiciliary Care tender has been completed and contracts have been awarded.

It is proposed that the ongoing costs associated with procuring the system will be met via efficiencies/economies realised within Domiciliary Care budgets as the data that will be generated will be used to inform re-assessments of Service Users to ascertain if the level of commissioned care is needed or for example if the care package can be reduced as the Service User has become more independent and that this is evidenced through the Provider delivering less care historically. Thus it is anticipated that this will be cost neutral to the Council. In the event that these costs cannot be met via this approach, the costs will be met from existing budgets.

(B) Capital Costs

None

Implications of the Proposals:

Resource Implications (Financial, IT, Staffing and Assets):
Legal Implications: The Care Act Statutory Guidance 2014 and subordinate legislation and statutory guidance.
Equality Implications: The equality Implications have been identified and mitigated.

Contribution to the Council's Core Purpose:

Protect the most vulnerable: The Electronic Case Management System will ensure there is improved monitoring of service delivery and ensure that services meet identified needs and Providers are
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delivering what they have been commissioned to deliver. The data can also be used to support investigations into complaints such as late or missed visits.

There is also potential for the system to be accessed by the families/advocates of Service Users so that they can see real-time information on the care their family member is receiving.

Facilitate confident and resilient communities:

There is potential for the system to be accessed by the families/advocates of Service Users so that they can see real-time information on the care their family member is receiving.

Commission, broker and provide core services:

The system will support the implementation of the new Domiciliary care contracts and new service delivery model as it will be used to inform contract monitoring of services and the data recorded can be used during analysis work on the current and future demand for services and therefore future commissioning requirements.

Place – leadership and influencer:

Drivers of change and reform:

Implementing the system will support the aim of moving to more electronic methods of recording and analysing service delivery.

Facilitate sustainable economic prosperity:

Greater income for social investment:

Cleaner Greener

The system will ensure that records are held electronically, thus dramatically reducing the need for Providers to have paper records in place – for example log books in Service Users homes for staff to record when they have arrived/left and what care tasks they have conducted during visits.

What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources (FD.4962/17.) and Head of Regulation and Compliance (LD.4247/17....) have been consulted and any comments have been incorporated into the report.

The implementation of the system has also been raised at the Public Consultation and Engagement Panel as part of wider discussions regarding the future Domiciliary Care contracts.

(B) External Consultations

Consultation has also taken place with LCR colleagues and Providers regarding the implementation of such a system as part of wider discussions regarding the future Domiciliary Care contracts.

Implementation Date for the Decision

Following the expiry of the “call-in” period for the Minutes of the Cabinet Meeting.

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Appendices:

There are no appendices to this report

Background Papers:

None

1. Introduction/Background

- 1.1 Existing Domiciliary Care contracts were awarded from 1st April 2012 and on 22nd June 2016 Cabinet approved the extension of these contracts until 30th April 2018 in order to support joint commissioning of future contracts with Knowsley Metropolitan Borough Council under Liverpool City Region (LCR) arrangements.
- 1.2 The re-tendering exercise for the new contracts is currently taking place and it is envisaged that new contracts will be awarded by late January 2018 to commence on 1st May 2018. The tender exercise encompasses bidders stating whether they wish to be a Lead Provider or a Pseudo Dynamic Purchasing System (PDPS) ‘Spot’ Provider. Lead Providers will be required to accept all care package referrals and PDPS ‘Spot’ Providers are those Providers which the Authorities may utilise if the Lead Provider is unable to accept a particular care package referral.
- 1.3 As part of this re-tendering exercise potential bidders have been advised in the *Invitation to Tender* that the Authorities (Sefton and Knowsley) will be purchasing an Electronic Case Management (ECM) system for Lead Providers to implement.
- 1.4 As part of the evaluation of tender submissions from bidders to be Lead Providers, they will be evaluated on various factors, including their ability and plans for the implementation of the ECM system.
- 1.5 The commitment to purchase an ECM system has been made as both Sefton Council and Knowsley Metropolitan Borough Council have identified that there is a need to modernise service delivery arrangements and move towards more

technological service solutions. At present services delivered are not fully recorded electronically and there is still a reliance on the use of paper records, for example log books in Service Users homes for Providers care staff to manually record details of their visits. This in turn causes issues when such records have to be analysed if concerns and complaints are raised regarding services delivered.

- 1.6 The future contracts also encompass the implementation of a new service specification which has a greater focus on Providers delivering a more outcome focussed approach and an ECM system will support this new model as the data can be used to inform re-assessments of Service Users with respect to ascertaining if the level of care commissioned is actually still required.

2. The Electronic Case Management System (ECM)

- 2.1 In the new contracts successful bidding Providers will be required to have in place Electronic Call Monitoring. This is essentially a system for the recording of visits and involves the care staff logging when they have arrived at a Service Users home and when they have left. When delivering the current service the care staff will typically rely on a paper copy of the Service Users care and support plan which will detail their preferences and the care tasks to be conducted.
- 2.2 An ECM system builds on the Call Monitoring system as it encompasses the Service Users care and support plan being recorded and updated electronically.
- 2.3 In addition to the above, there is also scope for any such ECM system to be able to be accessed by Service Users families, carers and advocates in order for them to look at the services being provided. This will seek to provide them with assurances regarding the care being provided.

3. The Benefits of the ECM System

- 3.1 The implementation of the ECM has been identified as offering the following benefits;
 - 3.1.1 **Improved Monitoring of Service Delivery** – by having an ECM system both Service Providers and the Local Authority will be able to see real-time information on services being delivered. This information can therefore be used to deal with any quality issues identified. Currently if issues are identified (such as missed or late care visits) then the processes to investigate such issues are laborious and time consuming, as they involve Providers and Sefton Council staff having to check paper records. By having an ECM system in place the processes will be simpler as the Provider will be able to quickly run reports from the system detailing what services have / have not been delivered. In addition, any ECM system procured will encompass Service User Care and Support Plans being held and updated electronically.
 - 3.1.2 **Reduced reliance on paper records** – existing systems for the recording of visits and care tasks completed are antiquated as they rely on paper

records being completed. The ECM system will reduce this and therefore also offer environmental benefits.

- 3.1.3 **Supports the new model of service** – the new Domiciliary Care contracts will require Providers to adopt a more enabling approach which seeks to ensure that Service Users continue to maintain and improve their independence. This includes the Providers adopting a Trusted Assessor role whereby they will have the flexibility to reduce care packages, if it is felt that the current level of care is no longer required as the Service user has become more independent. The ECM system will support this role as the Provider will be able to review the data to see if Service Users are typically not requiring certain care tasks to be conducted and/or the frequency and duration of current care visits can be amended. They can then discuss the reduction of care packages
- 3.1.4 **Additional Investment into the Domiciliary Care Sector** – whilst fee levels have been increased, the purchasing of an ECM system for Providers heralds additional investment into the sector as well as supporting Providers to effectively deliver their contracts.
- 3.1.5 **Supports Strategic Needs Analysis Work** – by having such a system Sefton Council will be able to use the data for work on analysing and projecting current and future needs as it will detail what services people are actually receiving and what care tasks are required. This information can then be used to inform future commissioning work. As the system will be procured jointly with Knowsley Council, then wider demographic trends and data can also be compared.
- 3.1.6 **Improved Information for Service Users, Carers, Families and Advocates** – it is envisaged that any ECM system procured will also have the ability to be viewed by Service Users and their carers / families / advocates. This will enable them to see real-time information on the care being provided and therefore assist with providing them with assurance, for example if relatives do not live close to their family member who is receiving care.

4. The Implementation of the ECM System

- 4.1 The new Domiciliary Care contracts will be in place from 1st May 2018, and will be for an initial term of three years. As part of the current tender exercise for these contracts prospective bidders have been advised that should they be awarded a contract then they will be provided with an ECM system by the Authorities and they will be required to implement the system within three months of receiving it.
- 4.2 The implementation of the system will be done as a phased approach, once they have received the system they will require around three months to fully go-live with the system as they will need to transfer/create all current Care and Support Plans onto the system which will take this period of time to achieve.

5. The Procurement of the ECM System

- 5.1 The procurement exercise is being conducted by Sefton Council on behalf of both Sefton and Knowsley Council, who will also be implementing the system in line with the current joint commissioning exercise for the new Domiciliary Care contracts, which Knowsley Council are leading on from a procurement perspective.
- 5.2 The ECM System will initially be purchased and provided to the successful PDPS Lead Providers by the councils in the initial three year contract term. After this, it is expected that full financial and operational responsibility for the system will be borne by the providers. Operational costs e.g. phones and tablets will be met in full by the Provider from the outset of the contract.
- 5.3 As part of the tender exercise ECM System suppliers will be advised that it will not be the intention of the Authorities to enter into a direct contractual relationship with them, principally with respect to the licences required to operate the system. Instead, the suppliers will be advised that they will be required to supply the system and licences to the Domiciliary Care Providers directly. These Providers will then pay for the system and invoice the Authorities for the costs incurred. This approach will be taken as it creates a direct relationship between the ECM System Supplier and the Domiciliary Care Providers which will therefore simplify future arrangements after the initial three year period that the Authorities are funding the system for.
- 5.4 If approval is given by Cabinet to commence the procurement exercise then Sefton Council Officers will work with Knowsley Council and LCR partners to develop a service specification for tenderers to subsequently bid on. As detailed in section 3.1.6, the specification will include ensuring that any ECM system procured has the ability to be viewed by Service Users, Carers, Families and Advocates.
- 5.5 Market testing has been conducted and it has been identified that should the proposed functionality detailed in Section 5.4 above be implemented (known as 'open access') then Sefton Council would need to decide whether or not the costs associated with accessing the system would be borne by Sefton Council or whether the successful ECM System Supplier would charge those interest groups directly to access the system. Definitive costs regarding this will be gathered during any tender exercise in order to then inform decisions on whether such costs will be borne by Sefton Council.
- 5.6 Initial market testing has also been conducted with respect to ECM system contractual frameworks in place, operated by other Local Authorities, that Sefton Council could potentially utilise to procure any system through. Should Cabinet give approval to procure the system, then further analysis with Procurement Team colleagues will take place in order to decide whether or not such existing arrangements provide the best option for Sefton.
- 5.7 Any tender exercise, or mini-competition using an existing framework agreement, will encompass evaluating bids based on the most economically advantageous tender. The assessment of quality will be based on questions formulated regarding the system and how it will meet desired aims and outcomes.

5.8 If the successful bidders in the current Domiciliary Care re-tendering exercise, referred to at paragraph 1.2, already have an ECM system in place and can therefore offer added value to the services they are bidding on, a procurement exercise for an ECM system may not be required. If this were to be the case Officers would advise Cabinet accordingly.