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| Request for InformationCompanies House – Case ManagementCH-1079Publication date: 6th April 2023Response deadline: 12 noon 21st April 2023 |
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# Invitation

THE SECRETARY OF STATE for the Department for Business, Energy and Industrial Strategy acting through the Registrar of Companies for England and Wales, Scotland, and Northern Ireland (“the Authority”) would like to engage with the market, to inform and shape the requirements of the Authority.

This Request for Information (RFI) seeks information to inform any potential procurement of a Case Management solution by Companies House. Companies House makes no commitment to go to market for a contract following this RFI.

Please note the following general conditions:

* This RFI will help us to refine the requirements of any potential procurement.
* This RFI will help us determine any internal recommendations and governance pathways required to seek spend approval to move forwards with an in-house or outsourced solution.
* Information contained within this document is confidential and must not be revealed to any third party without prior written consent from us
* No down-selection of Potential Providers will take place as a consequence of any responses or interactions relating to this RFI
* We expect that all responses to this RFI will be provided by potential Providers in good faith to the best of their ability in the light of information available at the time of their response
* No information provided by a Potential Provider in response to this RFI will be carried forward, used or acknowledged in any way for the purpose of evaluating the Potential Provider, in any subsequent formal procurement process
* Any and all costs associated with the production of such a response to a RFI must be borne by the Supplier. We will not contribute in any way to meeting production costs of any response.

# Background to the Requirement

## Background

Companies House would like to request potential providers with the relevant knowledge, experience and capability of providing a Case Management solution to respond to a Request for Information as set out in Section 3 of this document. Companies House Intelligence & Enforcement service carry out a range of enforcement functions and are seeking input from the market with respect to an appropriate Case Management solution capable of supporting the underlying enforcement processes.

A Case Management solution will be used to manage enforcement cases for Companies House that may lead to enforcement action such as civil penalties, criminal action, referring to the Insolvency Service and/or amendments to the register.

This kind of work includes contact from external customers by phone email and so forth, and may also include items of work raised by internal staff such as enforcement or intelligence.

A case management system records the initial query or ‘case’ and any subsequent contact, update or assignment of that case (collection of data) so that it can be scheduled, processed and monitored.

It will have a final status of closed for several reasons such as solved, resolved, dismissed. However, it can be re-opened.

Cases can be linked to one or more individuals or companies and linked to other cases.

Cases can be allocated to individuals or teams within CH to be processed and may have different priorities or sensitive settings.

Cases may concern individuals, companies, or third-party agents and require the involvement of multiple roles from within Companies House including, but not limited to, case officers, the Appeals team, operational administration, technical administration, finance, prosecution teams and senior management.

The key enforcement functions are:

* Prosecution
* Compliance
* Objections
* Registrars Functions
* Appeals

A transformation programme is underway at Companies House that will transform interactions with customers and internal structures to be more effective, efficient, and adaptable to future change, including the adoption of new powers to be introduced through forthcoming legislation. Companies House will, therefore, require a Case Management solution to be flexible and adaptable to accommodate the implementation of new processes.

## Requirements

**Functional Requirements**

Companies House would like to understand how your Case Management solution can meet the following requirements, focussing on key areas that will differentiate your solution across the following:

* Configuration
* Integration
* Volumes and scale

**Configuration**

Companies House are considering the advantages of on off-the-shelf, configurable Case Management solution that can deliver current and future enforcement processes. The solution will be able to improve and optimise processes, as well as be capable of adopting new ones, without the need for bespoke customisation or development.

* Case Management solution will be required to deliver a range of processes and automated workflows from simple (minimal stages) to complex (multiple stages)
* The solution shall be configurable by Companies House and, where appropriate training and knowledge sharing to be conducted by the supplier
* The processes will be required to adapt for requirements across the four UK jurisdictions (England, Wales, Scotland and Northern Ireland)
* The solution should support automated and manual allocation of cases to staff, including teams
* The solution shall allow the creation of ‘Parent’ cases with multiple ‘Child’ cases
* The solution should provide an effective and comprehensive capability for managing and reporting staff capacity and team workloads
* the solution should be capable of data matching and validation to maintain a single view of the customer / company to reduce duplication of cases
* The solution should be flexible to be able to incorporate processes outside of enforcement, for example Appeals, and any associated increase in the number of users

**Integrations**

A requirement for the solution is the ability to integrate effectively with other Companies House systems. Integrations would ideally be based on documented REST API’s though it is likely there will be a need to accommodate file transfers.

* The solution should support the push and pull of data between systems
* All integrations to be used in conjunction with the case management solution will be fully documented and cover the full functionality of the system
* Companies House use Companies House Information Processing System (CHIPS) and Clue for investigation and intelligence management. Data will need to pass between CHIPS and the Case Management System with Clue matching and pulling data from both for analysis purposes
* The solution will require integration with Microsoft 365 to allow editing of documents.

**Volumes and scale**

As the solution will need to deliver a range of enforcement processes it will need to be able to manage a high number of cases per annum and accommodate a number of different roles.

* Case volumes are expected to be c.700,000 per year across a full range of complexity
* Cases will be associated with both companies and individuals so the case management solution will be required to manage different data models accordingly
* The solution will need to support 400 users with the ability to scale up as business requirements expand.

**Non-Functional Requirements**

Companies House require the Case Management solution will be able to meet the following non-functional requirements.

* The solution will be cloud based, either Software as a Service, or Platform as a Service or able to be hosted on the Companies House AWS Cloud Infrastructure
* The supplier will be able to evidence that they have sufficient security policies and processes in place, preferably holding ISO27001 certification or other applicable security certifications such as SOC 2 or Cyber Essentials
* The service will have appropriate security controls in place, such as anti-intrusion, anti-spyware, and antivirus measures
* All data will be secured and be encrypted in transit and at rest
* All data will be owned by Companies House and must be hosted / processed / stored within the UK
* The solution will support Role Based Access Controls
* The solution will be able to apply data retention in line with Companies House policies
* The service will enable compliance with the UK GDPR and Data Protection Act 2018
* Integrations will use well documented standards-based API’s
* Companies House will be able to access an audit of all activity by users of the system
* There will be management reporting available and will be able to integrate the Companies House reporting services
* The service must be performant with expected response times for users (<500ms Time to First Byte) and page load times (<2.5s Largest Contentful Paint).
* The solution interface will be web based and not require a client install, working with modern standards-based browsers
* The solution will be accessible for all users meeting the WCAG 2.1 ‘AA’ standard
* The supplier will design the solution to be usable and configurable with the minimum of training required for Companies House staff
* The service must be scalable – capable of maintaining real time performance under increasing workloads
* The service must achieve 99.9% availability over the operating times (24x7x365), maintenance windows must be minimal and communicated in advance
* The solution will be able to integrate with external identity providers based on open standards and support Single Sign for staff using ADFS.

## Glossary of Terms

For the avoidance of doubt, key terms and acronyms used by Companies House and contained within this specification are detailed below.

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| **Term** | **Definition** |
| ABC | Means adaptable, bold, and curious |
| ADFS | Active Directory Federation Services |
| API | Application Programming Interface |
| AWS | Amazon Web Services |
| CH | Means Companies House |
| CHIPS | Companies House Information Processing System |
| CLUE | Existing Case Management System used by Companies House Intelligence hub to manage intelligence cases  |
| Contentful Paint | Means the time it takes for a user to see the first content on the screen |
| ECCT | Means the Economic Crime and Corporate Transparency Bill |
| EIR | Means Environmental Information Regulations |
| FACE | Means Faith, Allyship, Culture & Ethnicity |
| FOI | Means Freedom of Information |
| GDPR | Means the General Data Protection Regulation (The Data Protection Act 2018) |
| GPA | Means Government Property Agencies |
| ISO27001 | Means the standard created by the International Organisation for Standardisation related to information security management |
| ITT | Means Invitation to Tender |
| KPI | Means Key Performance Indicator |
| LGBTQ+ | Means Lesbian, Gay, Bisexual, Transgender and other communities |
| PSED | Means Public Sector Equality Duty |
| REST (API’s) | Means Representational State Transfer, a software architecture for web services. |
| RFI | Means Request for Information |
| SOC2 | Means Systems and Organisation Controls 2, evaluating the security, availability, processing integrity, confidentiality, and privacy of systems and data |
| WCAG 2.1 ‘AA’ standard | Means Web Content Accessibility Guidelines 2.1, the standards for making web content more accessible to people with disabilities |

# Information Requested

Companies House have prepared a table of questions that suppliers are requested to complete. Please use the space provided for your response and return via email to the nominated contact in Section 7 of this RFI. Within Q2 we would like you to complete the excel within Appendix A

**Supplier Name:**

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| **Ref.** | **Question**  | **Response**  |
| **Service** |
| 1 | Please describe the main functionality of your Case Management solution and the benefits Companies House will realise from adopting it. |  |
| 2 | Please complete attachment in Appendix A.Please advise if the requirements as described within this RFI and listed in appendix A would constitute an ‘out-of-the-box’ service offering or whether there would be any unique or bespoke aspects to the service. |  |
| 4 | Based on your experience and lessons learned, please detail any key dependencies, assumptions and risks related to implementing the solution, the taking on and delivering this service, and on which the indicative annual charge is based. |  |
| 5 | Based on your experience, what are the typical implementation timescales required to deliver a proposed solution and what challenges are often faced which may cause delay?Please include any recommendations regarding parallel running and user testing. |  |
| 6 | Please indicate the KPI approach to best measure performance for the key service components and the typical market KPI levels for each. |  |
| 7 | Please describe how the solution supports automated and manual allocation of cases to staff and how case workers interact with your solution to manage workload. |  |
| 8 | Please describe the reporting capabilities of your solution and how can it be integrated with external data analytics and visualisation tools. |  |
| **Technical** |
| 9 | Please clarify if and how your solution allows for case prioritisation. |  |
| 10 | Describe how you would incorporate new processes developed by Companies House and optimise them to maximise efficiency to allow Companies House to realise benefits of using your solution. |  |
| 11 | Please clarify how your solution creates templated letters and would integrate with the Companies House print service?  |  |
| 12 | Please describe the integration capabilities of your solution and how it allows the push and pull of data between systems, including integration with external master data sources. |  |
| 13 | Describe how your solution will enable data to pass between CHIPS and the Case Management System with Clue matching and pulling data from both? |  |
| 14 | Please confirm if your solution can provide access to associated, version-controlled assets such as documents, images, audio files and describe how that integration will work. |  |
| 15 | Please describe how you would propose passing case data to external organisations or Companies House teams that do not have direct access to the case management solution. |  |
| 16 | Please describe the different roles and user types available as part of your solution and to what extent the roles and associated permissions can be configured. |  |
| 17 | Please clarify how user authentication is operated, describing any multi-factor authentication and/or Single Sign-On functions. |  |
| **Commercial** |
| 18 | Based on your experience of delivering similar services, please indicate an annual budget range for the solution, the proposed licensing model, indicating the basis of the charges, whether fixed or variable, and if variable, define how the variable elements would be (typically) applied. Please also provide an indication of any setup or transition costs relating to deploying the solution and outline any typical milestones applicable to transition. |  |
| 19 | Based on your experience, what key information would be required at ITT stage to ensure suppliers can provide the most accurate response, both in terms of quality and price? |  |
| 20 | Please provide details of the frameworks that you are on related to the scope of this RFI |  |

# Responses and Timescales

In Section 3, Companies House have prepared a series of questions which suppliers are invited to respond to using Word or Excel via email. For question 2 please complete the excel document in appendix A.

Companies House are proposing to hold virtual supplier meetings to discuss the RFI responses in the week of 24th April 2023 via Microsoft Teams. If you would like to book a meeting with Companies House, please contact **Claire Mace** at **cmace@companieshouse.gov.uk** and Kate Turner at **kturner@companieshouse.gov.uk**

The timetable for the RFI process is laid out below:

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| **Timetable** |
| Publication of RFI | 6th April 2023 |
| Deadline for clarifications questions from Suppliers | 19th April 2023 |
| Deadline for Supplier Responses | 12 noon 21st April 2023 |
| Proposed supplier meetings | Week commencing 24th April |

# About Companies House

Companies House employ around 1,100 staff in our UK offices. Company registrations for England and Wales are carried out in Cardiff. Registrations for Scotland and Northern Ireland are carried out in Edinburgh and Belfast respectively. The London office (which is currently closed) provides search services, and documents can be delivered here.

***"We drive confidence in the economy and make the UK a great place to start and run a business. The data on our registers informs business decisions, supports growth and combats economic crime."***

Companies House is the register of companies in the UK. We incorporate and dissolve limited companies. We register company information and make it available to the public.

More than 4.8 million limited companies are registered in the UK. Over 600,000 new companies are incorporated each year.

Our purpose is to drive confidence in the UK economy. We do this by primarily collecting and presenting data on UK companies that benefits the public good and the wider economy. The information on the register is searched billions of times a year to support the making of millions of business decisions and is also used every day by UK and overseas law enforcement, by civil society, and by citizens.

We are committed to carrying out our statutory and commercial business with fairness, openness, and honesty. We have policies and procedures to prevent bribery.

## Our Responsibilities

Our main responsibilities are to:

* incorporate and dissolve limited companies
* examine and store company information
* make information available to the public

## Our Priorities

Our priorities are to:

* provide excellence in company registration and search
* make the register as complete and accurate as possible
* build a high-performance culture

Companies House has a target to increase the number of underrepresented (Ethnic minority, disabled and LGBTQ+) appointments made year on year by 10% and exceeds that target every year.

## Transformation

In 2020, Companies House embarked on a 5-year transformation programme setting out the future direction of the organisation to meet 6 strategic goals, with the aim to become the most innovative, open, and trusted register in the world. Our Transformation programme began with an engagement strategy that took a critical view of long-standing culture. Over 600 colleagues participated in workshops to provide feedback, whilst bringing a clear perspective for shaping future aspirations and taking ownership to create an employee-led change movement who are trusted to deliver. We refreshed our values by discussing and agreeing how it feels to be part of the organisation, embedding the concepts of ‘Working as One, Excellent Behaviours and Standards and Every Achievement Counts.’ We shaped our behaviours, pledging to develop our skills for the future by being adaptable, bold, and curious (ABC).

Companies House has heavily invested in development for performance and wellbeing with diversity and inclusion becoming a central aim in all areas of the organisation as the strategy, with Executive Board sponsorship, ensures everyone feels comfortable and confident being themselves at work. Recognising and establishing an identity has been key for us to evidence that our people are the unique force that binds us together and sets us apart from other organisations. We cherish the very best of our long-standing culture balanced with new ways of working and expect our people not to just embrace the change, but to be the change. A colleague-led change movement has established its position as the true experts who take accountability, challenge with confidence, have the freedom to try new things and be supported through some inevitable failures along the way.

Acting on ideas and supporting the delivery of passion projects has been the basis on which our 23 colleague-led networks evolved. These networks support, educate and drive change. With over 40% colleague participation this inclusive trusting environment enables people voice, engagement, connection, and influence in the things that matter. 10 networks are dedicated to diversity, with FACE (Faith, Allyship, Culture & Ethnicity) and Working Families Network created in last 12 months. This outlook is supported by our People Survey results, with 86% of colleagues feeling that Companies House is inclusive and fair, and 91% understanding our objectives and purpose.

As part of our transformation, one of our goals is to deliver value through efficient use of resources, we have aligned ourselves with the Government Property Agencies (GPA) Smarter Working Programme; empowering all colleagues to make the right decisions about where, when, and how we work; with outputs as the focus, technology as the driver and work life balance as the enabling ethos.

## Equality and Diversity

Within Companies House Corporate Strategy, we state our commitment of*, ‘Inclusion being the golden thread that runs through all Companies House activity*’.
We launched our Equality Diversity and Inclusion Strategy in 2021 and see the strategy as providing an opportunity for us to celebrate our successes but also focus on the key levers for change to help us deliver our strategic goal of, *‘our culture enabling our brilliant people to flourish and drive high performance’*

Companies House is required to meet the statutory requirements of the Public Sector Equality Duty (PSED), as set out in section 149 of the Equality Act 2010. This duty also applies to organisations carrying out a public function. It therefore includes private companies or voluntary sector organisations that have been contracted to carry out public functions on behalf of a public authority. The duty only applies in respect of the public function being carried out and not the wider business of the contracted body.

# Terms and Conditions of the Request

The Authority will not reimburse any costs incurred in connection with the preparation and / or submission of the supplier RFI response.

## Notice to Suppliers

This RFI and any related documents referred to have been prepared by the Authority for the pre-market test to gather information.

Whilst prepared in good faith, the RFI documents are intended only as a preliminary background explanation of the Authority’s activities and plans. Therefore, it isn’t intended to form the basis of any decision on whether to enter into any contractual relationship with the Authority.

The RFI documents do not purport to be all inclusive or to contain all of the information that a supplier may require.

Nothing in the RFI documents is, or should be, relied upon as a promise or a representation as to the Authority's ultimate decisions in relation to the RFI.

The publication of the RFI documents in no way commits the Authority to award any contract.

## Confidentiality

Subject to specific exceptions detailed within this RFI, the contents of the RFI are being made available by the authority on the conditions that the supplier:

* Treats the RFI as confidential at all times, unless the information is already in the public domain;
* Does not disclose, copy, reproduce, distribute, or pass any of the Information to any other person at any time or allow any of these things to happen, except where, and to the extent that, the Information has been publicised in accordance with paragraph 9 Freedom of Information Act 2000 (FoIA);
* Only uses the Information for the purposes of preparing a response (or deciding whether to respond); and
* Does not undertake any promotional or similar activity related to this RFI within any section of the media.

The supplier may disclose, distribute or pass any of the Information to its members of its Group of Economic Operators (if acting as a Lead Contact), Sub-Contractors, advisers or to any other person provided that:

* This is done for the sole purpose of enabling the supplier to submit its response and the person receiving the information undertakes in writing (such written undertaking to be made available to the Authority on the Authority’s request) to keep the information confidential.
* It obtains the Authority’s prior written consent in relation to such disclosure, distribution or passing of Information; or
* The disclosure is made for the sole purpose of obtaining legal advice from external lawyers in relation to this RFI;
* The supplier is legally required to make such a disclosure; or
* The information has been published in accordance with paragraph 9 Freedom of Information (FoIA (2000)).
* The Authority may disclose information submitted by suppliers during this RFI to its officers, employees, agents or advisers or other government departments who are stakeholders in this RFI.

## Freedom Of Information

In accordance with the obligations and duties placed upon public authorities by the Freedom of Information Act 2000 (the ‘FoIA’), the Authority may, acting in accordance with the Secretary of State’s Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the said Act, be required to disclose information submitted by the supplier to the Authority.

In respect of any information submitted by a supplier that it considers to be commercially sensitive and therefore confidential; the supplier should:

* clearly identify such information as commercially sensitive and confidential; and
* explain the potential implications of disclosure of such information and why it considers exemption under FoIA or Environmental Information Regulations (EIR) would apply; and
* provide an estimate of the period of time during which the supplier believes that such information will remain commercially sensitive.

Where a supplier identifies information as commercially sensitive and confidential, the Authority will use reasonable endeavours to maintain confidentiality. Suppliers should note, however, that, even where information is identified as commercially sensitive or confidential, the Authority may be required to disclose such information in accordance with the FoIA or the EIR. In particular, the Authority is required to form an independent judgment concerning whether the information is exempt from disclosure under the FoIA or the EIR and whether the public interest favours disclosure or not. Accordingly, the Authority cannot guarantee that any information marked “commercially sensitive” or “confidential” will not be disclosed.

Where a supplier receives a request for information under the FoIA or the EIR during the RFI process, this must be passed on to the Authority immediately and without any delay and the supplier shall not attempt to answer the request without first consulting with the Authority.

Suppliers should note that the information disclosed pursuant to a FOI or EIR request may include, but is not limited to, the disclosure of its RFI response (including any attachments or embedded documents).

# Contact Information

**Procurement Lead:**

Claire Mace and Kate Turner

**Contact Email:**

cmace@companieshouse.gov.uk and kturner@companieshouse.gov.uk

# Appendix A



