Causeway Coast & Glens Borough Council

Northern Ireland Planning Portal Replacement IT System	28 August 2019
Planning Committee	

Linkage to Council Strategy (2015-19)	
Strategic Theme	Innovation and Transformation
Outcome	The Council will embrace new technologies and processes where they can bring about better experiences for citizens and visitors.
Lead Officer	Head of Planning
Cost: (If applicable)	Estimated £1.34m over 11years (£121.7k per annum on average)

For Information

Purpose
To update Members on the progress on the procurement of the new Regional IT system to replace the Northern Ireland Planning Portal.

1.0 **BACKGROUND**

1.1 The Northern Ireland Planning Portal (NIPP) is used by the Department for Infrastructure, the 11 Councils and the Regional Property Certificate Unit to process planning applications and consents, enforcement cases, property certificates, tree preservation orders etc. The system is used by the public, Departmental and Council staff, planning agents, solicitors and consultees. There are approximately 9,500 registered users in Public Access.

1.2 The NIPP was developed over 10 years ago when the Department was the single planning authority. While the system is still operational it is reaching the end of its operational life and no longer meets all of the needs of users. The contract for the maintenance and support of the system ends in March 2019 but negotiation on a modification to the new contract has been developed to ensure that the NIPP is supported beyond March 2019 (and potentially to December 2020) but procurement of a new IT system is urgently required.

1.3 There is a risk that any new IT system will not be fully operational by December 2020 and the Department is currently exploring potential mitigation measures to ensure there is no break in service. These mitigation measures are dependent on securing agreement on the way forward for a new IT system so that the procurement can be progressed as soon as possible.

1.4 Causeway Coast and Glens Borough Council agreed at the Corporate Policy and Resources Committee held on 19 March 2019 to the estimated funding as set out in Table 1 of the Report and to the signing of the Memorandum of Understanding for the new IT system to replace the Northern Ireland Planning Portal; subject to the strength of all eleven Council's buying in; otherwise the Item be brought back. This decision was ratified at Full Council meeting on 26 March 2019.

2.0 **DETAIL**

2.1 The Department and local government colleagues have been working together to develop the specification for the procurement of the new planning IT system based on the agreement for a shared system between 11 Councils and the Department for Infrastructure.

2.2 This specification is now complete and is attached at Appendix 1.

2.3 The Department has now commenced the procurement exercise and an information day was held on 16th August 2019. The closing date for the Selection Questionnaire stage (attached at Appendix 2) is 6 September 2019.

2.4 A senior planning officer from Council's Planning Department will sit on the Evaluation Panel. The Evaluation Methodology is attached at Appendix 3.

3.0 RECOMMENDATION

3.1 It is RECOMMENDED that Members note the commencement of the procurement exercise for the new NI Regional Planning Portal.

NI Councils & DfI Regional Planning IT System

Schedule 2.1

Services Description

Document Name:	NI Regional Planning System_Schedule 2.1_Master_v1_010819.docx
Status:	Draft
Version:	1.0
Date:	1 August 2019

Contents

1 Definitions

1.1 In this Schedule the following definitions shall apply:

Consultee	Bodies who can assist a planning officer to determine a planning application in cases where the consultee's specialist expertise allows the provision of advice that is beyond the scope of a planning officer's own professional knowledge.
Deliverables Log	The Deliverables Log is a planning document that lists each deliverable. It documents, at a minimum, the template that will be used, who will be reviewing and signing off on the deliverable, and whether it needs to go through a formal deliverable acceptance process. Any review and/or acceptance criteria for the deliverable will also be identified.
DEA	Means District Electoral Area.
Disaster Recovery Environment	Means the environment used in the event of a Disaster and becomes the Production Environment for the NI Regional Planning IT System.
Planning Applications	Means all application types defined in OSA-1.
Planning Authority	Means one of the 11 Councils within Northern Ireland or the Department for Infrastructure.
Pre-Production Environment	Means the environment used to test releases prior to migration to the live NI Regional Planning IT System.
Production Environment	Means the environment used to host the live NI Regional Planning IT System.
NICS Users	Means Northern Ireland Civil Service users with an Active Directory Account maintained by IT Assist. This includes Department for Infrastructure (Planning, Roads, Rivers), Department for Communities, Department for Agriculture, Environment and Rural Affairs.
Non-Statutory Consultee	Consultations relating to planning applications connected to those development types that are not included within Schedule 3 of the GDPO are considered to be non-statutory for the purposes of the legislation governing statutory consultees. Likewise consultations relating to those aspects which are not planning applications such as Pre Application

	Discussions, various consents, determinations under the Environmental Impact Assessment Regulations etc. are also considered to be non-statutory.
Spatial Format File	Means the electronic file(s) which describe spatially vector features (points, lines and polygons) along with related attributes which meet the Open Geospatial Consortium (http://www.opengeospatial.org/) standards. The NI Regional Planning IT System must accept a wide range of Spatial Format file types including those most commonly used in the industry.
Statutory Consultee	Statutory consultees are those bodies listed in Schedule 3 of the Planning (General Development Procedure) Order (NI) 2015 (as amended) – the "GDPO". Planning officers are required to consult these bodies in relation to planning applications corresponding to the development types listed in Schedule 3 of the GDPO. These consultations are considered to be statutory for the purposes of the legislation. A significant feature which sets them apart from non-statutory consultations is that the statutory consultees are statutorily required under Section 229 of the Planning Act (NI) 2011 to make a substantive response to the Planning Authority within a specified timeframe.
Testing Environments	Means the environments used to perform testing of the NI Regional Planning IT System.
Training Environment	Means the environment used by the Authority to train users on the NI Regional Planning IT System.

2 Introduction

2.1 The purpose of this Schedule 2.1 (Services Description) is to describe the Authority's requirements for the provision of the Services by the Supplier.

2.2 General Planning Environment

2.2.1 Background

2.2.2 The objective of the planning system, outlined in the Planning Act (Northern Ireland) 2011, is to secure the orderly and consistent development of land, whilst furthering sustainable development including its statutory duty to 'further the conservation of biodiversity and improving well-being.

2.2.3 Planning Services in Northern Ireland (NI) are delivered by the eleven local Councils and the Department for Infrastructure (DfI), collectively referred to as the Planning Authorities. Since April 2015, Councils are each responsible for local planning services in their geographical areas (which equates to the vast majority of planning activity). DfI is responsible for all regionally significant and called-in planning applications as well as the Regional Development Strategy, planning legislation and policy, and general oversight of the NI planning system: www.infrastructure-ni.gov.uk/topics/planning. The Infrastructure Minister is responsible for the planning system and one of the key aims of the Department is to support the Councils in the effective discharge of their planning functions.

2.3 Planning application statistics

2.3.1 Since 2014/15, there has been an average of 12,719 planning applications submitted each year. During 2018/19 the NIPP handled:

- 12,541 planning applications received broken down as: 12,404 local development, 137 major development and 2 regionally significant development applications;
- 12,156 planning application decisions;
- 3,796 enforcement cases (opened); and
- approximately 43,000 consultations per year (statutory, non-statutory and requests for advice and guidance).

2.3.2 The latest Planning activity statistics can be accessed on the Department's website: https://www.infrastructure-ni.gov.uk/articles/planning-activity-statistics.

2.4 Northern Ireland Planning Portal (NIPP)

2.4.1 The delivery of Planning Services across all Planning Authorities is currently supported by an integrated suite of applications collectively known as the NI Planning Portal (NIPP).

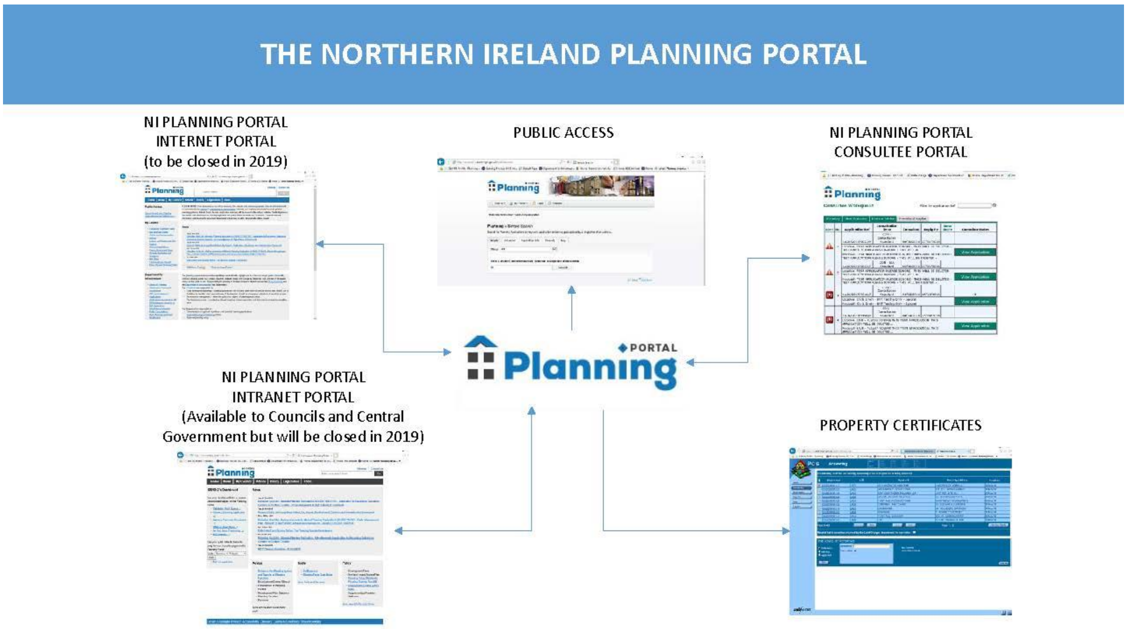

Figure 1: Current Northern Ireland Planning Portal

2.4.2 The NIPP was implemented in 2010, originally as a single Planning Authority solution, and was later enhanced to support the subsequent devolution of Planning Services to Local Councils in 2015.

2.4.3 All planning applications are managed and processed using this system, as well as Appeals, Enforcement cases and Tree Preservation Orders. Approximately 743 staff currently use it across all Planning Authorities (630 Council accounts and 113 DfI accounts).

2.4.4 In addition, to help aid the consultation process, the NIPP incorporates an online consultation system which allows the Planning Authorities to issue and track consultations electronically. It also enables consultees to view applications and submit responses using a web based system. The NIPP currently has 657 consultee organisations listed with circa 3,801 registered consultee accounts (only 586 of the consultee user accounts have been used since 1st April 2017 on the current system) and handles approximately 43,000 consultations per year (statutory, non-statutory and requests for advice and guidance).

2.4.5 NIPP Public Access

2.4.6 Anyone can use the public access site to view planning applications without registering. Users must register for an account on the system to take advantage of the features that allow you to save searches, track applications or submit comments on specific applications online. This is a self-registration service, which records users' personal data such as name, postal address, e-mail address and telephone number.

2.4.7 There are approximately 22,658 registered users on the public access site. In addition, analytics for the webpage that hosts the link to public access indicates that, since 2015, there has been an average of 614,896 hits to this page per year. Analytics for the public access site itself are unavailable but are believed to be much higher as some councils provide direct links to the site or to specific planning applications instead.

2.4.8 NIPP components

2.4.9 The NIPP includes a range of e-forms based applications that integrate with back office planning application systems and other mapping, workflow and Electronic Document Record Management System (EDRMS) components to provide a fully integrated solution, accessible through a web browser.

2.4.10 The existing solution currently comprises:

- Integrated intranet and internet Planning Portal based on a Content Management System;
- Integrated work queues supporting validation, allocation and other user activity workflows;
- Fee calculator for managing complex planning application fees;
- Integrated authentication with Active Directory for internal NIPP users;
- Bespoke mapping tool used to provide plotting and spatial analysis services for application polygons;
- Integration with back office applications supporting the full end-end planning process lifecycle;
- Online Consultee application providing integrated consultation responses to back office applications with integrated registration and authentication services with the UK Government Gateway;
- Scanning integration with TRIM EDRMS providing online electronic document repository;
- Geographic Information System (GIS) technology supporting NIPP spatial and mapping requirements; and
- Enterprise reporting capability across the NIPP solution.

2.4.11 The solution compromises of internal e-forms for:

- Transcription and submission of paper based planning applications to back office planning application system;
- Transcription and submission of paper based property certificate requests to the back office Property Certificate System;
- Processing of ad-hoc correspondence (letters, additional payments and supporting planning application documentation);
- Facilitating planning application validation activities;
- Facilitating planning application Allocation activities;
- Facilitating document approval workflow activities; and
- The solution compromises of internal e-forms and workflow interfaces for consultee organisations enabling the facilitation of online consultation responses and providing integration with the back office planning application.

2.4.12 Property Certificates System (PCS)

2.4.13 In addition to supporting the Planning Authorities to deliver their planning functions, the NIPP also encompasses a separate but linked system that aids Councils to process, monitor and issue Regional Property Certificates. This is known as the Property Certificate System (PCS).

2.4.14 Regional Property Certificates are the means by which solicitors conducting property transactions determine, on behalf of their clients, the status of the property with regard to planning, road services, water and sewerage services, and other environmental issues such as discharge agreements for septic tanks.

2.4.15 The provision of this service is a non-statutory function of the Councils and is co-ordinated and controlled by the Regional Property Certificate Unit (RPCU), a small team of administrators, based in Enniskillen.

2.4.16 The PCS helps the RPCU to:

- Record property enquiries from solicitors/conveyancers;
- Plot sites;
- Receive fees;
- Issue consultations electronically (replies are also collated automatically by the system);
- Return completed property certificates to the applicant; and
- Monitor the process and produce performance statistics.

2.4.17 The PCS currently has 189 active consultee accounts, 1,323 Applicant listings and, since 2016, has assisted the councils in processing an average of 32,260 certificates each year.

2.4.18 NIPP Service Management

2.4.19 The NIPP is primarily managed and supported by a third party supplier but with some support carried out by the Department's Digital Services Branch (DSB). The system is hosted within IT Assist's datacenter.

2.4.20 The first line of support for incidents reported by local or central government staff is provided by IT Assist's Service Desk with second line of support provided by the third party supplier and DSB. The first line of support for service requests and changes submitted by local or central government staff is handled by DSB's Service Desk with second line support handled by the third party supplier and DSB. Issues raised by the public or external users are handled by the relevant Planning Authority in the first instance and reported to IT Assist or DSB Service Desk as appropriate.

2.5 Users of the planning system

2.5.1 The planning system will be used by a range of users including:

- **Internal Staff** which encompasses both Council and DfI staff covering both Planning and Administrative Officers who work together to deliver planning functions such as the drafting of the local development plan, processing planning applications and enforcement cases or assessing and implementing Tree Preservation Orders.
- **Consultees** are third party individuals or organisations / bodies that provide expert advice on a statutory or non-statutory basis.

  In addition, a Planning Authority may also issue a request for advice or guidance to an internal branch or directorate within their organisation to help inform their assessment of the proposed development. An example of this would be for a Council's Planning Authority to seek advice from its Environmental Health section.
- **Applicants** are individuals, groups or organisations who submit planning applications or requests for planning consent. They may employ an Agent, who can be an individual or an organisation, to make a planning application on their behalf.

- **Public** is any citizen interested in the planning system. Since 2001 the majority of information held on planning application files has been open to the public. This includes copies of the application forms, maps, plans/drawings, environmental impact assessments and other supporting documentation. Correspondence with consultees, the Applicant/Agent or other interested parties, such as letters of representation from concerned neighbours, are also open to the public.

  Currently the public can access this information by visiting the relevant local planning office or by viewing the application details online via the public access website.

2.6 NIPP Contract

2.6.1 The contract with the third party supplier for maintaining and supporting the NIPP is due to end in December 2020.

3 Services Description

3.1 Introduction

3.1.1 This Schedule 2.1 (Services Description) sets out the intended scope of the Services to be provided by the Supplier and to provide a description of what each Service entails.

3.1.2 The requirements within this Schedule shall be interpreted as obligations on the Supplier (as if preceded by the words “the Supplier shall ensure”) unless expressly stated otherwise.

3.1.3 For the avoidance of doubt, in the event of any conflict between this Schedule 2.1 (Services Description) and Schedule (4.1 Supplier Solution), Schedule 2.1 (Services Description) shall prevail.

3.1.4 The Minimum Requirements are:

- The Supplier must provide a NI Regional Planning IT System that supports the efficient and effective delivery of planning services and execution of statutory obligations by each of the Planning Authorities in Northern Ireland;
- The supplier must provide an online capability that meets good practice in usability and user experience;
- The Supplier must develop and implement the NI Regional Planning IT System and provide delivery services, including training and data migration enabling the Authority to decommission the Northern Ireland Planning Portal;
- The Supplier must support, maintain and enhance the NI Regional Planning IT System; and
- The Supplier must provide optional services when requested by the Authority related to the delivery, ongoing support, and enhancement of the NI Regional Planning IT System.

3.1.5 The requirements have been grouped under the following key headings:

- General Requirements;
- NI Regional Planning IT System – Functional Requirements;
- NI Regional Planning IT System – Non-Functional Requirements;
- Implementation Services;
- Operational Services; and
- Potential Services.

3.1.6 The remainder of this section describes the general requirements which span multiple areas.

3.2 General Requirements

3.2.1 Performance Levels

3.2.2 The Supplier shall deliver the Services in accordance with the performance levels set out in Schedule 2.2 (Performance Levels).

3.2.3 Standards

3.2.4 The Supplier shall deliver the Services in accordance with the standards set out in Schedule 2.3 (Standards).

3.2.5 Security

3.2.6 The Supplier shall deliver the Services in accordance with the security standards set out in Schedule 2.4 (Security Management).

3.2.7 Hosting

3.2.8 The Supplier shall provide all infrastructure required to implement, host and support the NI Regional Planning IT System.

3.2.9 The Supplier shall be required to provide all necessary hosting environments required to implement and provide operational services which are expected to include as a minimum:

- Production Environment;
- Pre-Production Environment (Must be an exact replica of the Production Environment);
- Testing Environments;
- Training Environment; and
- Disaster Recovery Environment.

3.2.10 The Supplier shall suitably size all of the Environments and connectivity taking into account future on-line planning applications, mobile facilities for Internal Users and the implementation of Development Plans, all of which will increase the volume of cases and data recorded each year.

3.2.11 Licensing

3.2.12 The Authority requires a value for money solution and therefore any licencing charges to the Authority in relation to Public Users must be fixed. For the avoidance of doubt this means that irrespective of the number of Public Users there shall be no change in the licensing charge for the Authority.

3.2.13 Whilst the number of Internal Users and Consultee Users is expected to be relatively static, where additional licences are required for these user types these shall be provided by the Supplier. The cost for any additional licences shall be no more than the pro-rata unit cost as detailed in the Financial Model.

3.2.14 Where licences are charged on an annual basis the number of licence units shall be reviewed and amended to reflect the anticipated number of Internal Users and Consultee Users for the next annual period. For the avoidance of doubt this means that the number of licences required on an annual basis could go down.

3.2.15 For any software licences purchased through the Supplier for the benefit of the Authority, the proprietary holder and main licensee for the software licences shall be the Authority (subject to any other arrangement with the Supplier, this will be the default position).

3.2.16 The Supplier shall secure the Authority's continued legal right to use all solutions and licences in the event that the provider effectively or actually ceases to be operational, is unable to meet its contractual obligations and/or in the event of early termination of the Contract.

3.2.17 The Supplier shall supply and maintain all licenses required for the implementation and ongoing operation of the NI Regional Planning IT System. This includes all licenses required for Authority Staff and their nominees to support the implementation and ongoing operation of the NI Regional Planning IT System.

3.2.18 Equipment & Consumables

3.2.19 The Supplier shall be responsible for the supply of all consumables and equipment that they require for the delivery of this Contract, unless agreed with the Authority otherwise.

3.2.20 Documentation

3.2.21 The Supplier must produce all Documentation in English, and changes applied in a version controlled manner. Each document, drawing or specification must clearly state the title, author, date, issue/version and appropriate protective marking.

3.2.22 Contract Management

3.2.23 The Supplier's performance on this Contract will be managed and regularly monitored as per the agreement (see Procurement Guidance Note 01/12 - Contract Management - Procedures and Principles https://www.finance-ni.gov.uk/sites/default/files/publications/dfp/PGN-01012-Contract-Management-Principles-Procedures-25-Sept-2017.PDF). A Supplier not delivering on contract requirements is a serious matter. It means the public purse is not getting what it is paying for. If a Supplier fails to reach satisfactory levels of contract performance they will be given a specified time to improve in line with the remedies of this Contract.

3.2.24 If their performance still does not improve to satisfactory levels within the specified period, in addition to the remedies within this Contract, it may be regarded as an act of grave professional misconduct and they may be issued with a Notice of Unsatisfactory Performance. A central register of such Notices for supplies and services contracts will be maintained and published on the CPD website.

3.2.25 Any Supplier in receipt of a Notice of Unsatisfactory Performance will be required to declare this in future tender submissions for a period of three years from the date of issue of the Notice. It may also result in the Supplier being excluded from all procurement competitions being undertaken by Centres of Procurement Expertise on behalf of bodies covered by the Northern Ireland Procurement Policy.

4 NI Regional Planning IT System Requirements – Functional Requirements

4.1 Introduction

4.1.1 Planning in Northern Ireland (NI) is a two-tier system with each of the 11 Councils responsible for the provision of local Planning Services in their own geographical area. The DfI has Strategic Planning responsibilities across all of NI including amongst other things, statutory reporting and responsibility for taking decisions on those planning applications which potentially have a regional impact.

4.1.2 The Planning Authorities require an effective technology system to support the delivery of their planning work. This section describes the functional aspects which the NI Regional Planning IT System must deliver. It also describes a number of desirable features which the system would provide.

4.1.3 The requirements within this section should be read that a user is carrying out the action or activity **within** the NI Regional Planning IT System, regardless of whether this is stated, unless the requirement explicitly states that it is referring to an offline process or third party system.

4.1.4 The Supplier accepts that the requirements have been described at a high level and are not intended to describe in detail every single aspect of the system that the Supplier must provide. The Supplier shall be responsible for providing an overall technology system which enables each Planning Authority to deliver an effective and efficient planning service in line with current and future Northern Ireland Planning legislation, and local policy.

4.2 User Types

4.2.1 The NI Regional Planning IT System must provide as a minimum the following user roles.

User Group	User Role	Overview of User Role
Public User	Unregistered Public User	Search and view planning applications on the system and any supporting information/documentation classified as public.
	Registered Public User	Access additional functionality, including but not limited to submitting an application/representation and/or tracking an application, submitting a request for a Regional Property Certificate or enforcement complaint/TPO request. A Registered Public User can be an Applicant.

	Agent	Authenticated Users that register an account to submit a planning application on behalf of an Applicant. An Agent can be an Applicant.
Internal User	**Local Planning Authority**	
	Business Support Officer	Responsible for providing administrative support including but not limited to validating, processing payments/refunds, registering paper based applications on the system, plotting polygons, issuing neighbour notifications, advertising lists and decision notices, redaction and uploading information. A Business Support Officer may also be a consultee for Regional Property Certificates.
	Senior Officer	Management responsibilities for officers within planning teams (e.g. Development Management and Enforcement) including allocation, review of reports and decisions, provision of authorised signature and performance monitoring. Council Senior Officers must also have the privileges of a Council Case Officer or Enforcement Officer.
	Case Officer	Responsible for validating and processing all types of applications (including pre-applications and post decision applications), drafting reports and decisions, preparing appeal submissions and post-decision monitoring.
	Tree Preservation Officer	Responsible for processing TPO requests and applications to carry out works to protected trees, drafting reports/decisions and preparing appeal submissions. A TPO Officer may also be an internal consultee that provides advice and guidance to inform the assessment of an application or enforcement case.
	Enforcement Officer	Responsible for processing enforcement cases, drafting reports/decisions and notices, preparing appeal submissions and monitoring.

	Senior Property Certificate Officer	Management responsibilities for officers within property certificate team including allocation, review of decisions, provision of authorised signature and performance monitoring.
	Property Certificate Officer	Responsible for receipting and processing Regional Property Certificate requests on behalf of all the local Councils and managing the associated financial processes.
	Development Plan Officer	Responsible for contributing to Local Development Plan preparation. A Development Plan Officer may also be an internal consultee that provides advice and guidance to inform the assessment of an application.
	Departmental Planning Authority	
	Business Support Officer	Responsible for providing administrative support including but not limited to validating, processing payments/refunds, registering paper based applications on the system, plotting polygons, issuing neighbour notifications, advertising lists and decision notices, redaction and uploading information.
	Senior Officer	Management responsibilities in relation to regionally significant and applications referred to the Department including allocation, review of reports and decision templates, provision of authorised signature and performance monitoring. A Departmental Senior Officer must also have the privileges of a Departmental Case Officer or Enforcement Officer.
	Case Officer	Responsible for validating and processing planning applications deemed to be of regional significance and processing those which may be referred to the Department from the local councils, drafting reports and decisions, preparing appeal/ hearing / inquiry submissions and post-decision monitoring.
	Tree Preservation Officer	Responsible for processing TPO requests and applications to carry out works to protected trees, drafting reports/decisions and preparing appeal

		submissions. A TPO Officer may also be an internal consultee that provides advice and guidance to inform the assessment of an application or enforcement case, their role only relates to work within the Department for Infrastructure.
	Enforcement Officer	Responsible for processing enforcement cases, drafting reports/decisions and notices, preparing appeal submissions and monitoring, their role only relates to work within the Department for Infrastructure.
	Statistician	Provide reports that are summaries of Northern Ireland (NI) planning volumes and processing performances for the Planning Authorities. They provide summary statistical information on progress across the statutory targets. Statistician users must have read only access to allow for scrutiny and analysis of key data recorded on the system. They need the ability to search and extract information from the system with access to the reporting functionality.
	Performance Monitoring	Responsible for Continue to monitor the work of Planning Authorities and provide regular management information to the Governance and Oversight Board on: • Statutory consultees • Notifications • Call-ins • Statutory planning performance • Planning committee overturns They require the ability to search and extract information from the system with access to the reporting functionality.
	Miscellaneous	
	System Administrator	Technical users providing system support and local configuration amending Planning Authority configurable attributes.

	Call Centre Support	Users who have read only access to planning data in order to provide support to members of the public who call to request an update on their planning application.
Consultees	Statutory Consultee	A person or body with whom a Planning Authority is legislatively required to consult before determining a planning application.
	Non-Statutory Consultee	Third party organisations that provide advice and guidance to inform the assessment of an application or enforcement case.

4.2.3 The permissions associated with the roles described in the table above are to be defined and implemented in collaboration with the Authority. In this regard the roles and their implied permissions indicated within the remainder of this section may be subject to refinement during the implementation.

4.3 Managing Paper Submissions

4.3.1 The NI Regional Planning IT System requirements are described predominately from the perspective of a digital first and paperless planning system. The NI Regional Planning IT System must enable all Planning Authorities and the Regional Property Certificate Unit to enter and process applications and payments which are not received online.

4.4 Online: Unregistered Public Users

4.4.1 Public Access

4.4.2 A member of the public can search and view planning applications that are of interest to them without having to register for an account; this includes:

- Copies of the Application Forms;
- Decisions;
- Maps;
- Plans/Drawings;
- Additional Supporting Information;

- Environmental Impact Assessment Determinations & Environmental Statements;
- Consultation Correspondence;
- Representations; and
- Site History.

Reference	Category	Description
PA-1	Must	**Disclaimer** The system must display Authority agreed text relating to the important information about the online services which the user must acknowledge before proceeding.
PA-2	Must	**Simple Search** The system must provide comprehensive search functions to enable Public Users to search specific fields or document names in the system using criteria, which will result in a specific subset of results to be displayed. Search can include more than one criteria and will include but not be limited to: • Keyword • Reference number • Postcode • Single Line of an Address • Case/Application Type • Case Status • Dates • Decision type
PA-3	Must	**Advanced Search** As a Public User: • I can input a range of known/required details into the ‘Application Details’ section in the Advanced Search form. • A Date Range can be entered for the criteria that you are interested in. The system must: • enable Wildcard character (*) to be used in text fields to assist in search functionality. • not restrict the search through case sensitive text.

Reference	Category	Description
PA-4	Must	**Applications List** As a Public User I can: • search for applications according to the week or month in which they were made valid or a decision was issued. • filter my search by selecting appropriate Authority and District Electoral Area (DEA), or all DEAs within the selected Authority.
PA-5	Must	**Property Search** As a Public User I can: • search using the unique property reference number (UPRN).

PA-6	Must	**Map Searching & Viewing**
		
		As a Public User I can:
		• access the public facing map, with the option to turn on and off constraint layers which have been made publicly available.
		• switch between underlying base maps.
		• search the map by fields including but not limited to:
		  ○ Full or Partial Address
		  ○ Street
		  ○ Postcode
		  ○ Irish National Grid Reference
		  ○ Townland

PA-7	Must	**Guidance** The system must: • provide launch page content that will guide a user.

4.5 Online: Registered Public Users

4.5.1 Registration & Profile

4.5.2 Public users must register for an account before they can avail of **additional** online services.

Reference	Category	Description
RP-1	Must	**Register for an Account** As an Unregistered Public User I can: • register for an account and create my own account by providing basic information. Information to create a profile includes but is not limited to: • Title • First Name • Surname • Email Address • Address, including Postcode • Mobile Number (optional) • Preferred contact method
RP-2	Must	**Manage Profile** As a Registered Public User I can: • reset my password in case I forget it without needing to contact a Planning Authority. • be reminded if I forget my username.
RP-3	Should	**Dashboard** The system should: • direct a Registered Public User to their dashboard view after logging in.

4.5.3 Online Services: General

Reference	Category	Description
OSG-1	Must	**Tracking Cases of Interest** As a Registered Public User I can: • choose to track an individual application. The system must: • send a notification of key updates to a Registered Public User via their preferred contact method (either email or letter).

Reference	Category	Description

OSG-2	Must	**Submitting a Representation**
		
		Members of the public can make a representation for consideration up until the decision is issued.
		
		As a Registered Public User I can:
		• create, edit and submit a representation online and upload supporting documentation to a specified planning application reference.
		• save a draft representation, which I can return to and complete later.
		
		The system must:
		• support the following representation types:
		  ○ Objections
		  ○ Supporting comments
		  ○ Neutral comments
		• guide a user through the form in an efficient and effective way using conditional inputting and mandatory fields driven by defined business rules.
		• notify the user of a successful submission via email.
		• apply a unique reference number against the representation.

OSG-3	Must	**Viewing Draft Submissions** As an Applicant I can: • access a draft submission to provide the outstanding information required in order for my application to be considered complete. • view a summary of my draft submission so I can see which fields remain outstanding.
OSG-4	Must	**Viewing Live Submissions** As an Applicant I can: • view my live applications. • view all consultee correspondence that has been received by the Case Officer. • review all public representations that have been received by the Case Officer. • see a notification if my payment is incorrect on the system so that I know I need to pay the correct balance on the application. The system must: • notify the Applicant via email of all key status changes of my application. • notify an Applicant of any deadlines that are approaching (along with suitable wording informing the Applicant of matters such as consequences of failure to comply) to allow for timely submission or a request for an extension.

Reference	Category	Description
OSG-5	Must	**Viewing Previously Submitted Applications** As an Applicant I can: • view my previous applications including the status. • download an electronic version of any of the documentation associated with my application.
OSG-6	Must	**Making a Complaint** As a Registered User I can: • submit a complaint about alleged breaches of planning control. The system must: • direct the complaint to the appropriate Planning Authority and enable a complaint case to be managed.

4.5.4 Applications

4.5.5 This theme details the online application process that an Applicant will be able to complete. An Applicant can be a registered member of the public or an agent.

Reference	Category	Description
OSA-1	Must	**Application Submission** As an Applicant I can initiate, save progress as a draft, complete and submit an online application request to the relevant Planning Authority for the following applications types: • Full (F) • Outline (O) • Reserved Matters (RM) • Advertisement (A) • Carry Out Works on Protected Trees (WPT) • Certificates of Alternative Development (CADV) • Certificate of lawfulness of existing use or development (CLEUD) • Certificate of lawfulness of proposed use or development (CLOPUD) • Conservation Area Consent (DCA) • Determination - Listed Buildings Consent (DETLBC) • Discharge of Condition (DC)

Reference	Category	Description
		• Hazardous Substance Consent (HSC) • Hazardous Substance Deemed Consent (HSDC) • Listed Building Consent (LBC) • Modify or Discharge a Planning Agreement (MDPA) • Non-Material Change (NMC) • Preliminary Enquiry (PRELIM) • Proposal of Application Notice (PAN) • Pre-Application Discussion (PAD) • Request for EIA Determination (DETEIA) • Review of Mineral Permissions (ROMP) • Section 26 Determination (DETs26) • Section 54 Application (s54) • Transboundary Application (TBA) • Tree Preservation Order (TPO) • Urgent Crown Development (UCD) • Urgent Crown Listed Building Consent (UCLBC) The system must: • guide a user through the application submission in an efficient and effective way using conditional inputting and mandatory fields driven by defined business rules.
OSA-2	Must	**Application Completion** As an Applicant I can: • record all necessary information to enable the submission of a valid application, • upload supporting information. • save and come back to my online application to update/complete my application at another time, or delete my draft version.
OSA-3	Must	**Plotting** As an Applicant I can: • plot, edit and remove a plotted polygon(s), polyline(s) and point(s) on the system any number of times before submission of my application. • save my plotted polygon(s), polyline(s) and point(s) for my application site. The system must: • enforce good spatial data quality using rules e.g. not allow a user to plot a polygon(s) or polyline(s) with lines intersecting.

Reference	Category	Description
		• highlight errors based on best practice to the user in relation to the quality of the plotted polygon(s) or polyline(s).
OSA-4	Must	**Upload of Spatial Format Files** The system must: • allow Spatial Format Files to be uploaded and deployed over the base map as an alternative to the Applicant having to manually plot a polygon(s), polyline(s) or point(s).
OSA-5	Must	**Fees and Charges** There are a range of statutory fees some of which are flat rate whilst others are site area or floor space based. In addition, Planning Authorities may apply at their discretion charges for local planning related services. The system must: • be able to determine the applicable fee(s) and/or charges based on the responses provided by the Applicant, including taking into account exemptions and reduced fees when applicable. • be able to determine the applicable VAT amount to be charged as part of the overall payment. • display a disclaimer to the Applicant that the final fee amount lies with the Planning Authority and they may be due to pay an additional amount at a later stage.
OSA-6	Must	**Payment of Fees and Charges** As an Applicant I am: • able to pay the correct fee by debit or credit card or record a BACS reference to progress my proposed application. The system must: • ensure an application is only capable of submission upon confirmation of payment where debit or credit card is used. • always take payment by credit or debit card unless the charge or fee is above a threshold set by the Authority.
OSA-7	Must	**Submission** The system must: • display and confirm acknowledgement from the applicant in relation to any information or disclaimer. • submit the application to the appropriate Planning Authority based on key details captured during the completion of the form by the Applicant. • provide the Applicant with a unique reference number and confirmation email upon successful submission of the application. • apply the correct scheme of delegation for those applications types that can be determined from the information within the application without needing a Planning Officer’s interpretation.

Reference	Category	Description
		• generate unique references for applications using spatial information in the following format LAXX/Year/Number/Suffix e.g. LA01/2019/12345/F: ○ where LAXX is the Planning Authority and determined by the system using spatial information. Where a red line polygon straddles two Planning Authorities it will be allocated based on the Planning Authority within which 50% or more lies within. ○ Year is the year the application was submitted. ○ Number is a unique sequential number for the application, with each Planning Authority having their own number sequence. ○ Suffix is the application type. • automatically populate information based on spatial information (i.e. point or polygon drawn on a map) which includes townland, electoral area and ward.
OSA-8	Must	**Top Up Payments** As an Applicant I can: • make an additional payment that has been requested for my application by the Planning Authority.
OSA-9	Must	**Supplying Additional Information** As an Applicant I can: • submit additional information/documentation to my application up until the point where a decision is issued by the Planning Authority.
OSA-10	Must	**Withdrawal of Application** As an Applicant I can: • submit a formal request to withdraw my online application before a decision is issued. The system must: • suitably manage withdrawn applications.

4.6 Managing Work

4.6.1 Dashboard

4.6.2 The dashboard provides Internal Users with tasks and alerts, showing the status (snapshot) of a key performance indicators at an individual or team level to enable instantaneous and informed decisions to be made, supporting efficient and effective management of work.

Reference	Category	Description
DBD-1	Must	**Dashboard** The system must: • provide personalised dashboards to users tailored to their user role and area or areas of work that provides key information to support the user in prioritising and managing their work load effectively. • allow a user to sort and search for key information with direct access to work items (e.g. cases, tasks, message and alerts) of interest. • provide a management view of the dashboard for Internal users so that they can monitor individual and collective team(s) caseload, performances and performance indicators.

4.6.3 Tasks & Alerts

4.6.4 All tasks, alerts or notifications will appear on a user's dashboard. These will differ depending on whether the user is an Applicant, Public User tracking applications, Consultee or the type of Internal User they are. Alerts are triggered when users complete key tasks.

Reference	Category	Description
TAS-1	Must	**Tasks** The system must: • generate and assign tasks to users and/or user groups based on business rules to support efficient and effective working (e.g. when additional information has been provided by an Applicant or Consultee). • allow a user to manually create and assign a task to themselves, another user or a user group.
TAS-2	Must	**Alerts** The system must: • provide alerts in a meaningful way that supports users in prioritising and working efficiently. • allow alerts to be deleted by a user. • generate alerts relating to legislative deadlines (e.g. approaching the decision target, the 6-month completion period and the 28-day representation period for a TPO). • notify a Case Officer that a Consultee response or representation has been received against the application they are allocated to.

4.6.5 Workflow

4.6.6 Workflow supports effective and efficient working by automating processes according to a set of procedural rules.

Reference	Category	Description
WKF-1	Must	**Workflow** The system must • provide appropriate workflows to support efficient and effective working by users. • provide tailored workflows for each Planning Authority. • allow an application or case to move back (i.e. to repeat) aspects of the workflow (subject to safeguards according to defined business rules). • update the status of the application as it moves through the process.

4.6.7 Allocation

4.6.8 Allocation is the process where Case Officers are allocated new applications, consent, enforcement or other case types by a Senior Officer. The assigned Case Officer is responsible for the application as it is taken through the planning process to a conclusion. The system must be flexible and allow for re-allocation by a senior officer at any stage of the process.

Reference	Category	Description

ALL-1	Must	**Viewing the Allocation Work Queue**
		
		As a Senior Officer I can:
		• see linked applications and any associated documents uploaded to the system on the application I am currently allocating.
		• add comments or highlight predetermined issues for the Case Officer's attention.
		• filter and/or sort and customise an allocation work queue by:
		    ○ Application Type
		    ○ Application Classification (Major/Local/Other/Regionally Significant/Types Outlined in Section OSA-1)
		    ○ Development Type
		    ○ District Electoral Area (DEA)
		    ○ Street Name
		    ○ Post Code (full or partial)
		    ○ Submission Date

ALL-2	Must	**Allocating**

Reference	Category	Description
		The system must: • allow a Senior Officer to allocate or reallocate applications or tasks to an Internal User. • notify an Internal User that they have been assigned an application or task. • notify an Internal User that they have had an application or task reallocated away from them. • when validated make an application visible to all Senior Officers within their respective work area (e.g. Development Management, Enforcement etc.), dependant on the case type, and notify them that they need to allocate to an Internal User. • allow for the reallocation at any time throughout the assessment process.
ALL-3	Should	**Viewing the Allocation Work Queue** As a Senior Officer I can: • save an allocation view as default which will be applied each time I view the allocation queue.

4.7 Processing

4.7.1 Validation

4.7.2 Validation refers to the review of the application supplied by the Applicant to ensure it meets statutory (for example Planning (General Development Procedure) Order (Northern Ireland) 2015 and Advertisement Regulations) and local requirements before it enters the assessment stages.

Reference	Category	Description
VAL-1	Must	**Validation** As an Internal User I can: • add notes to support the allocation process. • amend the submitted polygon(s), polyline(s) or point(s). • mark the application as valid or invalid. • request additional information from the Applicant. The system must: • enable the review process of a submitted application, to ensure that it meets statutory and local requirements and deem it a valid application using automation to ease the burden on a validator. • make a newly submitted application visible to all Business Support Officers within their respective Planning Authority.

		• not allow a Business Support Officer to edit any information submitted by the Applicant that are not "classification related" as part of validation. • notify an Applicant that their application is in-valid or does not meet local requirements and the reasons it will not be processed further, with the option to request further information from the Applicant.
VAL-2	Must	**Dates** **As an Internal user I can:** • record Local Planning Authority target dates for Key Performance Indicators. The system must: • determine and record and report upon key dates e.g. date application received, date valid, target date, date of decision. • auto populate the Local Planning Authority target dates. • allow a user to amend the Local Planning Authority target dates.

4.7.3 Payment and Refunds

Reference	Category	Description
PT-1	Must	**Payments** As a Business Support Officer or Case Officer I can: • record payments related to paper submitted applications. This includes initial and any additional payments. • see a list of payments made for an application and any outstanding balances or overpayments that the system has calculated. • send a request to the Applicant for additional payment for their Application, along with a reason for additional payment via the system. The system must: • prevent a decision from being issued for an Application until the correct fee is paid in full. • notify that a top-up payment (e.g. for an EIA) has been paid so that I know I can progress with the application.
PT-2	Must	**Refunds** As a Business Support Officer or Case Officer I can: • record partial and whole refunds. The system must: • calculate outstanding balances and overpayments.

		• notify a Business Support Officer of an overpayment before they issue a planning decision so they can flag the amount for a refund.

4.7.4 Neighbour Notification

4.7.5 An important consideration for the Planning Authority in determining planning applications is the comments put forward by individual members of the public, residents groups and other organisations about development proposals. The Planning Authority has a statutory duty to carry out neighbour notification of 'identified occupiers' on neighbouring land. Failure to follow these legislative requirements could leave the Planning Authority, susceptible to Ombudsman cases, judicial reviews and ultimately could result in invalid decisions.

Reference	Category	Description
NNO-1	Must	**Neighbour Notification** As a Business Support Officer or Case Officer I can: • select individual properties from a map view or draw a polygon (freehand or a circle with the ability to set the radius) and then select properties from the results returned by the system. • generate a letter from a template to be issued (and can edit the text if required). • repeat this process if required at any stage prior to a final decision being made. The system must: • provide identified occupiers on land neighbouring an application based on a polygon drawn by the Case Officer. • provide the postal address of all properties selected for neighbour notification.

4.7.6 Environmental Impact Assessment

4.7.7 Environmental Impact Assessment (EIA) is a process for identifying whether development will have likely significant effects on the environment, to be taken into account before consent is given for a development to proceed.

4.7.8 Certain types of proposals require the submission of an Environmental Statement (ES):

- If an application falls within Schedule 1 to the Planning (Environmental Impact Assessment) Regulations (Northern Ireland) 2017, it is an EIA development and the submission of an accompanying ES is mandatory; or

- If an application falls within Schedule 2 to the EIA Regulations, an assessment of the proposals potential impacts and the significance of those impacts should be undertaken to determine if an ES is required.

4.7.9 A prospective Applicant may, prior to submission of a planning application, seek a written determination from the relevant Planning Authority as to the requirement for an EIA. A screening determination is a written statement from the relevant Planning Authority giving a determination as to whether or not a prospective application is EIA development which should be accompanied by an ES. The Applicant can also request a scoping opinion from the Planning Authority which sets out what the content of the ES should be.

Reference	Category	Description
EIA-1	Must	**Environmental Impact Assessment** As a Case Officer/Enforcement Officer I can: • complete an EIA Determination to screen whether an Environmental Statement (ES) is required. • request an Environmental Statement and additional fee if the application is deemed an EIA Development. • submit an EIA Determination with a recommendation through the system to another Internal User(s) for endorsement. • consult Consultees for their advice on whether an ES is required, the scope of an ES or the content of an ES or FEI. • complete a Scoping Report to determine the content of an ES. • issue notification to interested parties at key stages of the process. • submit a Scoping Report with a recommendation through the system to a Senior Officer for endorsement The system must: • calculate the appropriate deadline from the determination or Further Environmental Information. • notify the assigned Case Officer of any missed deadlines by the Applicant regarding the period of time from the determination or Further Environmental Information request and allow the status to be changed accordingly. • allow a determination to be completed at any stage in the process. • allow multiple determinations on any type of application or enforcement case.

4.7.10 Advertising

4.7.11 There is a statutory requirement for the Planning Authority to advertise planning applications and certain types of consents within local newspapers. They may also publish notices on their respective websites. This is carried out in order to bring the details of the development to the attention of the general public and provides interested parties with an opportunity to consider and comment on development proposals. During the processing of an application, it may be necessary to re-advertise, to advise members of the public that amendments have been made to the original proposal. Each Planning Authority will then create their advertisements outside the system, using the information provided in the advertising report.

Reference	Category	Description
ADV-1	Must	**Advertising**

Reference	Category	Description
		As a Case Officer/Business Support Officer I can: • select and unselect the applications that require advertising. • record the type of advertisement an application requires. • record the media channel(s) on the system that the application was advertised in. • select an application for advertisement more than once. As an Case Officer or Business Support Officer I can: • generate and export an advertising report which provides a breakdown and full details required for the advertisement and which media channel they are to be sent to. The system must: • flag all new applications as requiring an initial advert by default based on their type. • contain a standard list of media channels to select from and allow custom channels to be recorded tailored to each Planning Authority.

4.7.12 Consultation

4.7.13 After a Planning Authority has received a planning application, it will undertake a period of consultation where views on the proposed development can be expressed. These consultations will take the form of statutory, non-statutory consultations and advice and guidance where internal guidance is ascertained. Consultees can be either groups of individuals or individuals that have been engaged with. Consultees may have many consultations ongoing at any one time.

Reference	Category	Description
CON-1	Must	**Requesting Consultation** As a Case Officer I can: • send a consultation request as part of my case or application assessment to a statutory, non-statutory or advice/ guidance consultee through a set of business rules (e.g. timeframes for response, only listing relevant consultees to each category) and based on an assessment of hazards and constraints. • re-consult a consultee and request further advice. • at anytime rescind my request for consultation. • submit a case report for review via the system with which has outstanding consultee responses so that I can progress the application. • send a reminder to a Consultee. The system must:

Reference	Category	Description
		• not allow a consultation to be issued without mandatory information completed including case officer's details and reason for the consultation. • not allow a user to record a consultation as Statutory for consultations that (can be determined from the information within the application without needing a Planning Officer's interpretation (e.g. PADs, EIA determination etc)) as Non-statutory. • notify a Consultee of a new request from a Planning Authority, which requires action. • notify a Case Officer when a response has been received. • notify the Applicant when a response has been received.
CON-2	Must	**Managing Requests for Consultation** As a Consultee I can: • receive a consultation request through the system. • view the timeframes for response, associated supporting drawings and documents, planning history or other consultation responses linked to the application. • communicate with the case officer through the system, and upload any required information to my final response. • request a time extension subject to the approval of the Case Officer who submitted the original request. • view the responses of other Consultees. • export a Spatial Format File(s) (with attributes) associated with a consultation from the system so that I can easily map an application. • run pre-defined reports. The system must: • alert users when deadlines are approaching. • record and report upon the duration of the consultation with each Consultee in line with Section 229 of the Planning Act (NI) 2011 to make a substantive response to the planning authority within a specified timeframe.
CON-3	Should	**Managing Requests for Consultation** As a Consultee I can: • allocate new requests to staff within my organisation. • see any case notes attached from the case officer.
CON-4	Must	**Responding to Consultation Requests** As a Consultee I can: • create, edit, print, save and submit a consultation response, which can include uploaded documents for an application on the system.

Reference	Category	Description
		• Respond by selecting from a pre-defined list of possible response types and adding additional commentary and attachments as required. Pre-defined options including: ◦ **No Objection:** means that, on the basis of the information available I am content with the development as proposed. ◦ **No Objection subject to Conditions:** means that, on the basis of the information available I am content with the development as proposed subject to suggested planning conditions. ◦ **Objection**: means that the application is unacceptable in its current form. ◦ **Standing advice:** means the Planning Authority is referred to current standing advice by the consultee on the subject of the consultation. ◦ **Consulted in Error:** means a Consultee believes they were consulted in error and will not be providing a response. ◦ **Further Information Required:** means the Consultee believes that they need additional information before they can provide a response. ◦ **Reasoned Conclusion:** means the Consultee (in this case Shared Environmental Services) is providing their reasoned conclusion.
CON-5	Must	**Outcome** The system must notify the relevant Consultees: • of the outcome of a planning application that they have commented on. • when an appeal or hearing is received. • when an appeal is decided.

4.7.14 Representations

4.7.15 An important consideration for the Planning Authority in determining planning applications is the comments put forward by individual members of the public, residents groups and other organisations about development proposals. Representations may object, support or provide non-committal comments on a planning application and can be submitted in a variety of formats including online, by email or by post.

Reference	Category	Description
RPR-1	Must	**Representations** As a Business Support Officer or Case Officer I can:

Reference	Category	Description
		• accept a representation in its original form, reject an online representation or accept and partially redact the information. The system must: • send an acknowledgement email to the user who submitted the representation, informing whether it was rejected along with a reason. • publish representations online once accepted by the Business Support Officer or Case Officer. • store all representations whether they are accepted or rejected. • link representations to their relevant case.

4.7.16 Assessment

4.7.17 A Planning Officer assesses a case in order to make a recommendation enabling a final determination to be made. When carrying out an assessment the Planning Authority must take into consideration various factors such as legislation, planning policy and guidance, the local development plan, consultation responses, the site assessment and any other material considerations.

Reference	Category	Description
AST-1	Must	**Assessment** As a Case Officer I can: • process the application by checking hazards and constraints through mapping, reviewing relevant planning history, considering consultations and any representations received, carrying out a site visit and preparing a case officer report. • annotate separate plans, maps or documents. • search, view and select a planning history record on the system (text and mapping) and can view all those historic records associated with the application or within my search parameters. • record site visits including notes, photos or actions required following the site visits. • add and remove documents to public access on the system throughout the assessment process so that the public can keep up-to-date with an application. • change whether an application is delegated or a Committee decision. The system must: • guide a user through the assessment process based on business rules, requirements and timeframes.

4.7.18 Recommendation

4.7.19 The case report is the output produced by an Officer following the assessment process and supports the decision making process.

Reference	Category	Description
CRP-1	Must	**Case Report Production** As a Case Officer I can: • select, edit, save, submit for review and print a suitable case report, at any stage of the process, from templates on the system, which will pull through information from the assessment stage that I have completed according to business rules and requirements. • submit a draft report so that I can get feedback from my peers. • produce multiple versions of a report on the system for a case. • produce addendum reports on the system so that future changes to my assessment are considered. The system must: • pull through information from the system (e.g. applications information, relevant policies, zonings, GIS information, constraints from the GIS layer, consultation responses, planning histories) and populate the case report template with this according to business rules.
CRP-2	Must	**Proposed Planning Conditions / Refusal Reasons / Informatives / Planning Agreements** As a Case Officer I can: • select model conditions, refusal reasons and informatives so they can be added to recommendations, reports and decisions. • select model conditions, refusal reasons and informatives that only apply to my Planning Authority so they can be added to my case officer reports and decisions. • enter any ad-hoc conditions, refusal reasons and informatives for recommendations, reports and decisions. • order and reorder approval conditions, refusal reasons and informatives which are reflected in the recommendation report or decision notice so that the reasons for refusal and conditions for approval are clearly laid out. • record that the permission is subject to a Planning Agreement under Section 76 of the Planning Act (Northern Ireland) 2011 or an agreement under Article 122 of the Roads (Northern Ireland) Order 1993.
CRP-3	Must	**Policies** The system must: • pull through the relevant local and regional policies (e.g. land use zoning, designations etc. from the applicable local development plan).

Reference	Category	Description
CRP-4	Must	**Review & Endorsement** As a Case Officer I can: • submit a recommendation, report, decision for endorsement by a Senior Officer(s) and recorded by the system. As a Senior Officer I can: • review, edit and reject/endorse a recommendation, report, decision. The system must: • apply the appropriate signature when reports and notices are endorsed.

4.7.20 Decision

4.7.21 Under the two tier planning system the vast majority of applications for local and major development are determined by a local Planning Authority. By statute certain types of these applications must be determined by the Planning Committee for that Local Planning Authority. Delegated powers enable planning officers to determine other types of applications themselves without the need for a decision from the Planning Committee. Each Planning Authority will have their own Scheme of Delegation which designates the categories of planning applications which can be decided under delegated powers by appointed officers.

4.7.22 The Department determines a limited number of applications for regionally significant development, and those that are subject to call-in from local Planning Authorities.

4.7.23 Section 68 of the 2011 Act allows a council to revoke or modify a planning permission. If the revocation order by a Planning Authority is opposed it must be confirmed by the Department. The Department also has powers under Section 72 of the Act to serve a revocation order itself.

Reference	Category	Description
DEC-1	Must	**Decision** As an Internal User I can: • record all decision stages (e.g. Delegated/Pre-Determination Hearing/Planning Committee/Deferral by Planning Committee/Notification to the Department/Appeal)) and their outcome against the case and the individuals or group who made it. • see all decision stages on a case so that the outcome of each decision stage is clear and can be easily tracked. The system must:

		• generate and populate the chosen template by pulling data from the applicable fields in the case. • issue the Decision Notice to the Applicant as an electronic copy. • allow Decision Notices to be printed. • publish the Decision Notice and electronically stamped drawings for public view. • not allow the generation of a decision notice on the system until all relevant mandatory actions relating to the application are complete.

4.7.24 Notification to the Department & Directions from the Department

4.7.25 A Local Planning Authority may be required to notify the Department of certain applications (e.g. where it intends to grant planning permission contrary to the opinion of a statutory consultee, or approve a conservation area consent). In addition the Department may direct a Local Planning Authority to refer an application to it. This can happen at any stage of the application process.

Reference	Category	Description
RTD-1	Must	**Duty to Notify** As a Case Officer I can: • notify an application to the Department which will appear as a work item for the relevant Department users. As a Department Officer I can: • generate and issue the required letter(s) and assessment report(s) from templates to advise whether applications should/should not be referred to the Department. The system must: • identify where a Local Planning Authority must notify the Department (for those applications types that can be determined from the information within the application without needing a Planning Officer's interpretation) and prompt the user to do so. • prevent a Local Planning Authority granting permission or consent within a set timeframe where the application has been notified to the Department and it has yet to confirm if the application is to be called in or not.
RTD-2	Must	**Directions from the Department** As a Department Officer I can: • inform the Local Planning Authority that the case is being considered for call in. • generate and issue the required letter(s) and assessment report(s) from templates to advise whether applications will/will not be called in to the Department. As a Consultee I am:

Reference	Category	Description
		• notified when an application I have been assigned has been called-in from a Local Planning Authority to the Department. The system must: • enable a Departmental Officer to consider a call-in for an application from a Planning Authority and allow the user to record information including a call-in date or set an indefinite period. • notify a Departmental Officer when the call-in date deadline is reached. • not allow a Local Planning Authority to further process an application once called in by the Department.

4.8 Mapping & Spatial Intersection Search (SIS)

4.8.1 From this data Planning Officers can determine who will need to receive correspondence with regards to the proposed application, as well as investigate relevant historical planning and environmental constraint data for consideration as part of their assessment.

Reference	Category	Description
SIS-1	Must	**Mapping & Spatial Intersection Search (SIS)** The system must: • contain an effective Mapping SIS tool as referenced in Section 5.8. • allow an Internal User to complete an ad-hoc spatial intersection search and save or export the results without needing an associated application.
SIS-2	Must	**Constraint Layers** As an Internal User or Consultee: • I can configure, view and reorder multiple constraint mapping layers (including relevant constraints on nearby sites outside the district boundary). • I can view the planning history which is based on the planning history that intersects or is within a specified distance of the plotted polygon (including relevant planning history on nearby sites outside the district boundary). • I can view the mapping layers for the development plan on the system so that I can see any designations relevant to the Application (e.g. land use zonings and designations). • I can print a plotted polygon, polyline or points (or multiples, if appropriate) of an application site and selected map and constraint layers. • I am presented the configured default layers that are set by my Planning Authority. • I can search for planning history within a section of the map (by fields such as Application Type and Classification). • Ability to view grid reference of the base map when plotting on the map.

Reference	Category	Description
		The system must: • auto-calculate the area of a polygon and display and record the area in a unit of measurement selected by the user (e.g. square meters, hectares, square kilometers). • enforce good spatial data quality using rules e.g. not allow a user to plot a polygon(s) or polyline(s) with lines intersecting. • highlight errors based on best practice to the user in relation to the quality of the plotted polygon(s) or polyline(s).
SIS-3	Must	**Spatial Format Files** As an Internal User I can: • export a Spatial Format File(s) (with attributes) so that I can use this in other GIS software.
SIS-4	Should	**Map Layers** As a Case Officer I can: • set default map layers on the system so that they are always set on my account which will override the preset mapping layers set by my Planning Authority. • switch between underlying base maps.
SIS-5	Should	**Create, Edit & Save** As an Internal User I can: • create, edit and save a map showing relevant planning history, constraints which is capable of exported as a pdf document. • add a key to the map.

4.9 Productivity

4.9.1 Correspondence

4.9.2 Correspondence is messaging between an Officer and end users of the process such as Consultees, Applicants or Public Users.

Reference	Category	Description
COR-1	Must	**Correspondence** The system must: • provide communication facilities between Applicants and officers during all stages of processing through email, portal messages and letter. • provide electronic communication facilities between officers and consultees during all stages of processing to enable advice and further information to be provided informally. • store all correspondence.

4.9.3 Templates

4.9.4 Templates refer to pre-set formatted documents required at various stages of case processing for planning applications, enforcement cases, appeals, tree preservation orders and property certificates. All templates will have pre-set auto-populated fields, which are not editable, as well as sections of editable text. Each Planning Authority must have the ability to configure its own templates.

Reference	Category	Description
TEM-1	Must	**Templates** The system must: • pull information entered within the system through into a template, based on the stage of the application process. A business user can select and preview templates before submitting the correspondence. • allow each Authority to easily access and configure their own versions of templates. • allow each template to have the Planning Authority's branding and information into a template that is pulled from fields that were already completed elsewhere.
TEM-2	Must	**Style Guide** The system must adhere to the style guides in place for each Planning Authority for all communication channels/outputs.

4.9.5 Electronic Signatures

4.9.6 To support a digital first approach and the ambition of a paperless planning system a range of users must be able to apply signatures and stamps to documents.

Reference	Category	Description
ES-1	Must	**Electronic Signatures** As a Case Officer / Senior Case Officer I can: • attach a new electronic signature (e.g. in the form of a scanned image of my wet signature) to my profile. • electronically sign a document. The system must: • redact signatures from all publicly available information.
ES-2	Must	**Electronic Stamps** As a Case Officer / Senior Case Officer I can: • electronically stamp and record a digital document with a unique reference number (such as Drawing Number) along with the date and time of receipt or issue to remove the need for manual offline stamping. The system must: • provide each Planning Authority their own set of digital stamps. • incorporate the stamp within documentation so that it appears when viewed, exported or printed.

4.9.7 Uploading & Copying

4.9.8 The volume of information for an application can vary greatly. The NI Regional Planning IT System must allow users to upload supporting information in a wide variety of formats.

Reference	Category	Description
UPL-1	Must	**Upload** As an Applicant I can: • upload supporting files as part of my online application. • view attachments from my online application once it has been submitted. As an Internal User I can: • upload files to a relevant case file. • categorise files (e.g. a plan or document submitted by the Applicant, consultation response or representation) As a Consultee I can: • upload files to accompany my consultation response

Reference	Category	Description

		The system must:
		• associate an uploaded file with the applicable application.
		• support the following file types:
		  ○ .doc and .docx - Microsoft Word file
		  ○ .odt - OpenOffice Writer document file
		  ○ .pdf - PDF file
		  ○ .txt - Plain text file
		  ○ .Tif - TIFF
		  ○ .jpg - JPEG
		  ○ .png - PNG
		  ○ Raw image files
		  ○ .DWG, .DXF, .DGN, and .STL (Computer Automated Design)
		  ○ Spatial Format Files

UPL-2	Should	**Amending Files and Upload** As an Internal User I can: • easily rename a file without exporting it. • easily update the description. • change the category of the document. • change the orientation of the contents within a document and this will persist. • upload the same document to multiple applications at once via the system. As an Applicant or Internal User I can: • upload the same document to multiple linked online applications so that I do not need to repeat the process.
UPL-3	Should	**Copying Information** The system should be able to copy across fields from a duplicate or sister application rather than having to manually enter twice (e.g. a planning and Listed Building Consent application on the same site).

4.9.9 Redaction

4.9.10 Redaction is the process of removing sensitive or irrelevant information from a document prior to its publication.

Reference	Category	Description
RED-1	Must	**Redaction** As an Internal User I can: • electronically redact information in part or whole so that the redacted information cannot be viewed or unredacted. • record commentary to explain my rationale for redaction. • send a redacted document for review. As an Internal User I can: • choose to approve, redact or reject any additional information submitted by the Applicant during the assessment process. • export a redacted digital document from the application so that the redacted document can be provided as a hard copy if required. The system must: • create a copy of the document so that when redaction is complete I have a redacted and original version of the document which will be tagged as not visible for public users. • allow redaction to be editable on any documents that have been previously redacted and selected to be work flowed to another defined business user for approval before being available to view by public users. • allow specific data fields to always be set as redacted so they cannot be viewed online by public users. • maintain the redaction in an irreversible way when exported, printed or published online.
RED-2	Should	**Redacted** The system should: • allow specific artefact types (e.g. medical reports) to always be set as redacted so they cannot be viewed online by public users.

4.9.11 Case Notes

4.9.12 Case notes are associated with specific cases and intended to support users in completing their work.

Reference	Category	Description
NOT-1	Must	**Case Notes** As an Internal User I can: • record case notes e.g. in relation to meetings, site visits or phone calls.

Reference	Category	Description
		The system must: • date and time stamp case notes when they are entered in the system. • allow case notes to be edited and deleted.

4.9.13 Spell & Grammar Checker

4.9.14 Spell checker improves the quality of submissions and professionalism when producing letter, reports and correspondence.

Reference	Category	Description
SPL-1	Must	**Spell Checker** The system must: • provide spell checker (UK English) functionality across all key areas of the system.
SPL-2	Should	**Dictionary** The system should: • allow a System Administrator to add additional words to the spell checker dictionary.
SPL-3	Should	**Grammar** The system should: • provide grammar checker (UK English) functionality across all key areas of the system

4.9.15 Measuring Tools

4.9.16 Measuring tools allow an Internal User to measure distances, angles and areas within drawings taking account of the scale of the drawing to provide the “real life” values.

Reference	Category	Description
MET-1	Must	**Measuring Tools** The system must:

Reference	Category	Description
		• provide a wide range of measuring functionality for Internal Users.

4.9.17 Mobile Working

4.9.18 Mobile working provides the ability for a user to complete their work away from their desk. For example when carrying out a site visit. A key aspect of effective mobile working is enabling a user to work in areas where they have no connectivity.

Reference	Category	Description
MOB-1	Must	**Mobile Device Working** The system must: • allow Internal Users to download to their device the case(s) to enable working in areas of no connectivity. • allow Internal Users to complete their work activities (i.e. recording notes, updating data etc.) using mobile devices in areas of connectivity with access to real time information. • allow Internal Users to complete their work activities (i.e. recording notes, updating data etc.) using mobile devices in areas with no connectivity • synchronise data from devices when the device regains connectivity.
MOB-2	Should	**Enhanced Mobile Working** The system should: • provide enhanced mobile working features to improve a user's productivity (e.g. direct access to a devices camera to enable photographs to be taken and associated with a case). • provide the ability for a user to amend the polygon.

4.10 Monitoring and Changes

4.10.1 Monitoring and Discharge

4.10.2 Each Planning Authority when assessing and deciding on planning matters may determine there is a requirement to monitor the development, either at a specific date or on a range of future dates. Situations where a Planning Authority may need to monitor include but are not limited to:

- Compliance with Planning Conditions attached to the grant of planning permission;

- Compliance with Planning Agreements for example to confirm that infrastructure and facilities to be provided under the agreements are delivered;
- EIA Development, for example to monitor, where appropriate, any mitigation measures identified through the Environmental Impact Assessment process;
- Mineral and Waste Management Development; and
- Enforcement cases.

4.10.3 Planning conditions may require further details to be submitted to and approved by the relevant Planning Authority at certain stages following the grant of planning permission or consent.

Reference	Category	Description
MON-1	Must	**Monitoring** The system must: • support the continuous monitoring of planning matters post decision to provide comprehensive complete case management. • flag those conditions that require approval of further information (e.g. pre-commencement conditions) so that they are be monitored and reported on. • monitor planning agreements entered into under Section 76 of the Planning Act (Northern Ireland) 2011 for the purposes of checking compliance. • provide reporting on the above.

4.10.4 Revocation, Modification and Discontinuance Orders

4.10.5 There are occasions when the Council or, as the case may be, the Department may wish, because of changed planning circumstances, to revoke or modify an extant planning permission and provision is made for this in Sections 68 and 72 of the Planning Act (Northern Ireland) 2011. A single order may revoke or modify one or more permissions and may give rise to a claim for compensation under legislation. A permission may, in general, only be revoked or modified before the operations permitted have been completed. Section 68 states that an order may be made if it appears to the Council that it is expedient to do so having regard to the development plan and to any other material considerations. Under Section 72 where the Department proposes to make such an order it must not do so without consulting and serving notice on the relevant Planning Authority.

Reference	Category	Description
RVC-1	Must	**Revocation** As a Case Officer or Departmental Case Officer I can: • record that the revocation process has commenced within the case file and record dates and actions required. • enter and upload information received associated within a case file including the final revocation process outcome(s). The system must: • enable the Planning Authority to advertise a proposed revocation and notify the Department • allow the revocation or modification of a decision after the decision notice has been issued and will allow a Case officer to record a different status.

4.11 Making a Tree Preservation Order

4.11.1 A Tree Preservation Order (TPO) is a statutory protection afforded to trees under Chapter 3 of the Planning Act (NI) 2011. It provides protection for those trees specified in the order and makes it an offence to cut down, top, lop, uproot or willfully damage or destroy a tree, or permit these actions, without first seeking the council's consent to do so.

4.11.2 Anyone can request a TPO and currently all requests are sent to the relevant Local Planning Authority for consideration. Additionally, the Local Planning Authority may initiate a TPO as a result of a planning application, the Development Plan process or in response to any threat to a tree/group of trees/woodland. Furthermore, the Department, after consultation with the appropriate Local Planning Authority, also has the power to make a TPO if considered expedient.

4.11.3 The criteria for deciding which trees to protect in their area can vary between Planning Authorities.

4.11.4 In most cases the Planning Authority will impose a Provisional TPO, which takes effect immediately for a period of six months. Alternatively, a Full TPO may be served in circumstances where the Planning Authority considers it unlikely that there is any immediate significant risk to the trees. Comments and representations may be made by anyone within 28 days from the date of a Provisional TPO.

Reference	Category	Description
TPO-1	Must	**Tree Preservation Orders** As a Tree Preservation Officer / Departmental Tree Preservation Officer I can: • create a TPO.

		• validate and process a TPO request on the system (including applications to amend a TPO) which includes having the ability to notify neighbours, send and receive consultations and correspondence, the use of templates for reports and correspondence and issue decisions.
		• alter the submitted polygon of a TPO request.
		• specify whether the decision to issue the TPO is delegated or a Committee decision.
		• send my report to an individual or group to be authorised.
		• Alter the status of a TPO.
		
		As an Internal User I can:
		• see details of protected trees and groups of trees (including the type, location and status) within a designated site on the map.
		
		The System must:
		• automatically set a TPO status to 'Not confirmed"' if it is not confirmed before the six month completion date has passed.
		• generate unique references for Tree Preservation Order cases using spatial information in the following format LAXX/Year/Number/Suffix e.g. LA01/2019/12345/F:
		    ○ where LAXX is the Planning Authority and determined by the system using spatial information. Where a red line polygon straddles two Planning Authorities it will be allocated based on the Planning Authority within which 50% or more lies within.
		    ○ Year is the year the Tree Preservation Order was submitted.
		    ○ Number is a unique sequential number for the enforcement, with each Planning Authority having their own number sequence.
		    ○ Suffix is the Tree Preservation Order type.
		• automatically populate information based on spatial information (i.e. point or polygon drawn on a map) which includes townland, electoral area and ward.

4.12 Enforcement

4.12.1 Each Planning Authority provides a planning enforcement service, which investigates complaints and provides expert advice on enforcement matters. The Planning Authority has the discretionary power to take action against breaches of planning control. A Planning Authority can investigate breaches of planning controls such as:

- development (including change of use) which needs planning permission is undertaken without approval;
- conditions attached to a planning permission are not complied with;
- advertisements have been displayed without consent;
- buildings have been demolished which are listed or within a Conservation Area without consent;

- works have been carried out to a listed building without consent; and
- works are undertaken to a tree protected by a Tree Preservation Order or within a Conservation Area without consent.

Reference	Category	Description
ENF-1	Must	**Enforcement** As an Enforcement Officer I can: • send consultation requests to consultees via the system for Enforcement cases to gather all necessary information. • create reports and notices on the system which are linked to a specific Enforcement case. I can preview a document before its creation and save a draft version prior to issue. • record court details (e.g. dates / comments / upload / free text / out comes / monetary fines etc.) of an enforcement case which has invoked legal action on the system so that court findings can be saved to the enforcement case. • send my report to an individual or group to be authorised. • make notes of site visits and meetings on the system. • upload photographs and other evidence to the system. The system must: • provide the end to end processing of Enforcement complaints which includes assessments (e.g. EIA), case reports, consultation, correspondence (notices and warning letters) through various templates and comprehensive case management. • generate unique references for enforcement cases using spatial information in the following format LAXX/Year/Number/Suffix e.g. LA01/2019/12345/F: ○ where LAXX is the Planning Authority and determined by the system using spatial information. Where a red line polygon straddles two Planning Authorities it will be allocated based on the Planning Authority within which 50% or more lies within. ○ Year is the year the enforcement was submitted. ○ Number is a unique sequential number for the enforcement, with each Planning Authority having their own number sequence. ○ Suffix is the enforcement type. • automatically populate information based on spatial information (i.e. point or polygon drawn on a map) which includes townland, electoral area and ward.

4.13 Regional Property Certificates

4.13.1 A Regional Property Certificate is requested as part of the conveyancing process for land and property acquisitions in Northern Ireland. The Regional Property Certificate provides information in relation to permissions and consents relative to the land / property granted by the following authorities:

- Planning;
- DfI Roads;
- Northern Ireland Water; and
- Northern Ireland Environment Agency.

4.13.2 Regional Property Certificates Unit provide a shared service for the 11 Local Planning Authorities in Northern Ireland who process and manage the application and associated financial processes, including payment and distribution of fees associated with the function.

4.13.3 The Planning Authority's require a solution that automates the processing of the Regional Property Certificate applications.

Reference	Category	Description
RPC-1	Must	**Regional Property Certificate Request** As an Applicant I can: • record all necessary information, including attachments to enable the submission of a valid Property Certificate application. • plot, edit and remove a plotted polygon(s) on the system any number of times before submission of my application. • save my plotted polygon(s) for my application. The system must: • guide a user through the application submission in an efficient and effective way using conditional inputting and mandatory fields driven by defined business rules. • display and confirm acknowledgement from the applicant in relation to any information or disclaimer. • not allow a user to plot a polygon(s) with lines overlapping. • determine the appropriate fee for the application and record and report fee apportionments. • be able to determine the applicable VAT amount to be charged as part of the overall payment.
RPC-2	Must	**Payment of Fees and Charges** As an Applicant I can: • pay the correct fee by debit or credit card. The system must: • ensure an application is only capable of submission upon confirmation of payment where debit or credit card is used. • provide the Applicant with a unique reference number and confirmation email upon successful submission of the application.

Reference	Category	Description
RPC-3	Must	**Automated Processing of Regional Property Certificate Applications** The system must: • workflow each application to the appropriate Planning Authority and Consultees upon receipt (note where a Consultee organisation uses an interface to exchange information with the NI Regional Planning IT System the Property Certificate applications, and responses must be supported by this interface). • automatically complete a Property History Search for each polygon and make this information available to the Case Officer. • create a Property Certificate once all responses have been received and issue this as a secured pdf document via email to the applicant. • enable a Property Certificate application to be excluded from automated processing to enable manual intervention where necessary.
RPC-4	Must	**Planning Authority & Consultees** As a Business Support / Case Officer I can: • review the outcome of the Property History Search for each polygon and edit this information as required so that it will appear on the Regional Property Certificate application. As a Consultee I can: • record the outcome of my investigations (note these investigations are completed offline) against the Regional Property Certificate application.
RPC-5	Must	**Regional Property Certificates Additional** As a Property Certificate Officer I can: • manually generate and issue a Regional Property Certificate which is recorded on the system. • view a request for a Property Certificate and reject an application with a reason if necessary. • see on the system who has & hasn’t responded to a property certificate request. • search and view property certificate requests and certificates issued. • select and print single or multiple complete property certificates. • record partial and whole refunds. • re-issue consultations in relation to a specific Regional Property Certificate request. The system must: • where an application is rejected notify and remove this from the Planning Authority and Consultee’s tasks. • provide reports to support the management of the Regional Property Certificate process including allocation of fees.

4.14 Local Development Plan

4.14.1 Each Local Planning Authority is responsible for producing a Local Development Plan for their area. Local development plans provide spatial planning policies to help manage future development and growth.

4.14.2 Section 6(4) of the Planning Act (Northern Ireland) 2011 requires Planning Authorities to determine planning applications in accordance with the Local Development Plan unless material considerations indicate otherwise. Local Development Plans are therefore crucial to the decision making process and it is essential that relevant local policies are captured in the new IT system.

4.14.3 Planning Authorities also needs to be able to monitor the effectiveness of Local Development Plans and the outcome of decision making. This enables Planning Authorities to have up to data and information about growth in their area and helps the development of future policy.

Reference	Category	Description
DVP-1	Must	**Development Plan & Constraint Layers** The system must: • store and display for users all relevant adopted and draft Local Development Plans, as constraint layers along with their associated attributes. • Enable each Planning Authority to monitor the outcomes of decision making and report on all available fields (e.g. the number of private and affordable housing units, or commercial floor space, granted planning permission).

4.15 Appeals

4.15.1 The Planning Appeals Commission (PAC) is an independent appeals body that deals with a wide range of land-use planning issues.

4.15.2 The PAC's function is to make decisions on appeals against council decisions. This includes decisions on applications for planning permission and all types of consents, enforcement notices, listed building enforcement notices, hazardous substances contravention notices and a Section 164 notice (replacement of trees). The PAC also determines appeals against failure of the Council to take a decision on an application.

4.15.3 There is currently no third party right of appeal. Objectors or other parties with an interest in the appeal can take part in the process.

4.15.4 In addition, the PAC hears and reports on a wide range of cases including on representations relating to applications for planning permission for regionally significant development or applications called in by the Department and on determinations that applications are for Environmental Impact Assessment (EIA) development and that an environmental statement is required.

Reference	Category	Description
APP-1	Must	**Appeals** As a Business Support Officer or Case Officer I can: • record that an appeal has been received and record dates and actions required. • record an associated application for costs has been received. • record the outcome and the amount of a costs decision so that this information can be reported. • enter and upload information received associated within a case file including the final appeal outcome(s). • create a Statement of Case or Rebuttal from a suitable template on the system so that I can respond to an Appeal being heard by the Planning Appeals Committee. • export the entered information through a template as well as any supporting information or documentation within the Case.

4.16 Judicial Review

4.16.1 Judicial review is a process by which the courts review the lawfulness of a decision made (or sometimes lack of a decision made) or action taken (or sometimes failure to act) by a Planning Authority. It is a mechanism by which a judge considers whether a public body has acted in accordance with its legal obligations and if not, can declare a decision taken by it invalid. A review can occur at any point in the application's lifecycle, and can run for an extended period due to complexity.

4.16.2 Judicial review procedures are set out in Order 53 of the Rules of the Court of Judicature (Northern Ireland) 1980.

Reference	Category	Description
JR-1	Must	**Judicial Review** As a Business Support Officer or Case Officer I can: • record that a Judicial Review has commenced within the case file and record dates and actions required. • enter and upload information received associated within a case file including the final Judicial Review outcome(s). • change the status of the decision to quashed and that the case is reactivated and requires a decision by the Planning Authority
JR-2	Should	**Judicial Review Costs** The system should: • allow costs to be recorded against Judicial Review cases so that this information can be reported.

4.17 Search

4.17.1 The search function is a design strategy to ensure users have a way to find specific content. Users can locate content, without needing to understand or navigate through the structure of the Web site. This can be a quicker or easier way to find content, particularly on large systems.

Reference	Category	Description
SCH-1	Must	**Search** As an Internal User I can: • view, sort and filter search results (subject to user and authority permissions) and export results and/or documents. • select an individual result and navigate to view the full details of the case. • perform a planning history search on the system using specific field types and/or Spatial Format Files. The system must: • provide comprehensive search functions to enable Internal Users to search specific fields or document names in the system using criteria, which will result in a specific subset of results to be displayed. Search can include more than one criteria and will include but not be limited to; keyword, reference number, postcode or single line of an address, case/application type, case officer, case status, dates, decision type. (This functionality will not be case-sensitive). • will ensure users only see search results on the system which are limited to their role.
SCH-2	Must	**Planning History Search** The system must: • provide a comprehensive planning history search function which is based on a Spatial Format File or drawn polygon(s). • allow users to save and re-run planning history searches. • export results.

4.18 Reporting & Business Intelligence

4.18.1 The reporting system will provide an end-to-end reporting function which provides users and managers with timely pertinent information. The Department has an oversight role in relation to operational and environmental governance. To facilitate the work of these teams the system must record information which will allow it to be reported upon.

Reference	Category	Description
RPT-1	Must	**Reporting** The system must:

Reference	Category	Description
		• enable performance management reports to be generated for teams of users, individual case officers, application type and by Planning Authority • allow for reports to be generated on all fields recorded in the system. • enable for fee based reporting. • export reports in a format that can be analysed in other suitable software packages (e.g. Microsoft Excel or Microsoft Access) • provide standard management reports which include but are not limited to the likes of Performance against each statutory KPI and have the option to add/configure/remove further Performance Indicators. • provide tools and access privileges that permit Users to write/save their own real time Ad Hoc Reports, use drill through methods, and create tables and report dashboards, within their respective Planning Authority. • display reports in a variety of formats e.g. Pie charts, Bar charts etc. • allow users to set automated scheduled reports. • allow a Planning Authority to easily configure its own reports.
RPT-2	Must	**Initial Reports** The system must provide the reports as described in Annex 2 – Forms, Templates & Reports.
RPT-4	Must	**Operational Governance** The system must record and report upon: • applications which have been determined under a Council's Scheme of Delegation. • applications which have been determined by a Planning Committee. • applications have been called in to a Planning Committee. • recommendation by a Planning Officer has been overturned by the Planning Committee. • applications which have been deferred including multiple deferrals. • recommendation by a Planning Officer has been over turned by the Local Planning Committee record where applications have been notified by Local Planning Authorities to the Department. • total number of housing units and the application status (e.g. applied, granted consent, refused). • private and affordable housing units and their application status (e.g. applied, granted consent, refused). • office floor space (sq/m) the application status (e.g. applied, granted consent, refused). • retail and industrial floor space (sq/m) the application status (e.g. applied, granted consent, refused). • number of megawatts of renewable energy and the application status (e.g. applied, granted consent, refused). • Current Classification of the Site: Greenfield or brown field, mixture of green and brown.
RPT-5	Must	**Planning Monitoring Framework** The system must:

Reference	Category	Description
		• provide reporting that meets the requirements of the Local Government (Performance Indicators and Standards) Order (NI) 2015. • capture and enable the data to be reported / accessed by its Business Intelligence tool to enable statistically analysis output to be created. See for examples - https://www.infrastructure-ni.gov.uk/articles/planning-activity-statistics.
RPT-3	Must	**Business Intelligence** The system must provide: • a comprehensive Business Intelligence tool that can retrieve, analyse, transform and report on all data held within the system including spatial analysis.

5 NI Regional Planning IT System - Non-Functional Requirements

5.1 System Architecture

Reference	Description
NF-SYA-1	**Integrated Components** The NI Regional Planning IT System must be integrated; meaning where the solution is made up of more than one component part, such components must be integrated in accordance with recognised industry best practice to provide an uninterrupted suite of online and back-office services for users (i.e. without the need to rekey information).
NF-SYA-2	**Data Integrity** The NI Regional Planning IT System must be a multi-user, multi-tasking system, prevent concurrent updates of an existing record and retain referential integrity of data, including but not limited to inactive administrative codes, lapsed user accounts, drop down fields, reporting parameters, etc. The NI Regional Planning IT System should validate Spatial Format Files before allowing these to be loaded into the system. Where the files fail validation a user must be provided with the reasons for the failure to validate.
NF-SYA-3	**User Access** The NI Regional Planning IT System must incorporate authentication and authorisation controls, maintainable by the Authority staff to facilitate role-based access control, restricting access to records and functionality to authorised users based; for example on their business role, staff grade, location. The NI Regional Planning IT System must operate on a least privilege basis to allow authorised users only to view, input and update data consistent with their role/user type. The NI Regional Planning IT System must enable Staff (in accordance with their user roles) to have view access to all data in other Planning Authority areas. .
NF-SYA-4	**Operating Systems & Internet Browser** The NI Regional Planning IT System must provide an end-user interface which will operate on Windows 10 (Enterprise, Professional and Home) operating system, and the internet browsers as detailed at: http://uxm.nidirect.gov.uk/applying-uxm.html#browser-support For the avoidance of doubt the NI Regional Planning IT System must continue to operate with the internet browsers as updated from time to time on the above link (or its equivalent replacement) and updated versions of operating systems. The NI Regional Planning IT System must require minimal software to be installed on users' devices, allowing access to the system via the web or internet. Suppliers must also provide a full technical specification of any software/technology required by the Authority to provide access to the system for each of the Operating Systems & web browsers specified above.

Reference	Description
NF-SYA-5	**User Session** When a user session has been inactive/idle for a defined period of minutes, the NI Regional Planning IT System must automatically log the user out and terminate the session in a controlled manner without any data loss. This timeout period must be configurable.
NF-SYA-6	**Operational Performance at Point of Access** The NI Regional Planning IT System must provide acceptable levels of operational performance (see section 5.4 Performance), on the local/cloud infrastructure and desktop estate in use at the time of deployment across each Planning Authority. The system must remain performant across each Planning Authority as their local/cloud infrastructure and desktop estate evolves over the Term.
NF-SYA-7	**Supportability** The NI Regional Planning IT System must be maintainable, easily supported, allowing changes can be made in a structured, repeatable manner with minimum risk. The NI Regional Planning IT System will exist in a business landscape which is subject to change, including aspects such as changing organisational structures, business rules, legislation, mandatory statistical monitoring and reporting, additional interfaces, and user roles. Therefore, it is essential that the system is flexible and configurable in response to such changes in an efficient and effective manner. Such enhancements should be possible without excessive effort over and above that expected to deliver the new features, and should be without detriment to the existing features of the system.
NF-SYA-8	**Mainstream Support** The NI Regional Planning IT System (both hardware and software) must remain in mainstream support or, with the Authority’s ongoing agreement, in extended support at all times. ***Note the requirement in section 7.3.17 in relation to N-1.***
NF-SYA-9	**Reliability** The NI Regional Planning IT System must achieve acceptable levels of operational reliability, as defined in Schedule 2.2 (Performance Levels) whilst catering for the target transaction volumes and user load metrics as defined section 5.3 Capacity.
NF-SYA-10	**Date & Time** The NI Regional Planning IT System must utilise an agreed date and time server to maintain synchronicity of time stamped entries. The system must automatically convert changes from British Summer Time to Greenwich Mean Time. The system must also manage any move to a single time zone all year round.
NF-SYA-11	**Online Analytics** The NI Regional Planning IT System must incorporate analytics and reporting for the Public User functionality. Authority staff must have access to the analytics facility and its reporting capability.

Reference	Description
NF-SYA-12	**Online Upload** The NI Regional Planning IT System must for the Public User functionality allow file size, file types and max upload capacity to be set as directed by the Authority.

5.2 Authentication

Reference	Description
NF-AUT-1	**Identity and Access Management (IAM) – NICS** The NI Regional Planning IT System must integrate with the NICS Enterprise Account Management solution (Microsoft Active Directory) to provide single sign-on access for NICS Users.
NF-AUT-2	**Identity and Access Management (IAM) - Councils** The NI Regional Planning IT System must integrate with each Council's Enterprise Account Management solution to provide single sign-on access for Council Users. This includes on premise solutions, Microsoft Azure Active Directory and hybrid architectures. Where an individual Council elects not to make use of single sign-on access the system must enable these users to access via username and password with Multifactor Authentication in line with NCSC Cloud Security Principle 10 – Identify and Authentication.
NF-AUT-3	**Identity and Access Management (IAM) - Consultees & Third Parties** The NI Regional Planning IT System must integrate with the Secured Credentials Platform or any subsequent replacement service identified by the Authority to provide access for Consultees & Third Parties where they are not covered under NF-AUT-1 for NICS Consultees or NF-AUT-2 for Consultees within a Local Council.
NF-AUT-4	**Identity and Access Management (IAM) - Public Users (Registered Public Users or Agents)** The NI Regional Planning IT System must provide secure access management which includes Multifactor Authentication in line with NCSC Cloud Security Principle 10 – Identify and Authentication.

5.3 Capacity

Reference	Description
NF-CAP-1	**Record & Data Capacity** The NI Regional Planning IT System must cater for all types of Planning Applications and planning functions. These can vary in size and scale; from a simple planning application to regionally significant application with an extremely large amount of supporting documentation. The system must cater for the large amount of historical planning information, that is to be migrated to the new system and all future information over the Term. This comprises variable amount of information sets and associated document & files. The NI Regional Planning IT System over the Term must have the capacity to cope with current and future levels of records and data associated with the effective delivery of planning services across the Planning Authorities.

Reference	Description
	The system must cater for approximately, at a minimum: • 15,000 planning applications per annum • 45,000 consultations per annum • 3500 Enforcement Cases • 35,000 Property Certifications
NF-CAP-2	**User Population** The NI Regional Planning IT System must support the full user population and associated transactions whilst delivering a responsive and acceptable level of performance. The Internal User population as a minimum is: • 650 users, Council Planning/Business Support Officers. • 50 users, DFI Planning Officers / Business Support Officers. • 1000 Consultees, for 700 Consultee Organisations. • 20 DFI Core Officers, including but not limited to Statisticians and GI staff. The NI Regional Planning IT System must support the Public User population and associated transactions whilst delivering a responsive and acceptable level of performance. The NI Regional Planning IT System must support user growth over the Term from both online users and internal users without requiring a major re-build (hardware and software).
NF-CAP-3	**Transactions** The NI Regional Planning IT System must scale to allow for transaction volume growth over the Term without requiring a major re-build (hardware and software).

5.4 Performance

Reference	Description
NF-PER-1	**Performance** The NI Regional Planning IT System must perform and be responsive, including at peak times of business. **The intent of the Performance Themes is to describe measures that show the quality of the end user experience. The system must meet the following Performance Themes with active concurrent users described in NF-CAP-2 for End Users:** **Performance Theme 1: Online Applications** • Entering text and moving between fields on a form appears instantaneous • Saving text information on a form (e.g. before progressing) completes within 3 seconds • Uploading a file (commit to database) completes within 90 seconds per 20 MB file **Performance Theme 2: Mapping & Spatial Intersection Search** • Navigating the map (panning, zoom in/out) appears instantaneous to the end user • Drawing a polygon / multiple polygons appears instantaneous to the end user

Reference	Description
	• Selecting and displaying a constraint layer appears almost instantaneous to the end user • Selecting and displaying a constraint layers (up to 10) completes within 3 seconds • Results return from a Spatial Intersection Search involving up to 10 Constraint Layers within 3 seconds **Performance Theme 3: Assessing Applications** • Navigating between screens appears almost instantaneous to the end user • Opening a case displays details within 5 seconds • Retrieving a file to view completes within 35 seconds per 20 MB file • Saving information to a case completes within 3 seconds **Performance Theme 4: Online Search** • Search suggestions appear instantaneously as an end user types • Completing a simple search returns results within 1 seconds • Search result displays when selected within 3 seconds **Performance Theme 5: Internal Search** • Search suggestions appear instantaneously as an end user types • Completing a simple search returns results within 1 seconds • Search result displays when selected within 3 seconds • Completing a multi address or multi data element search returns results within 3 seconds **Performance Theme 6: Reporting** • Schedule reports are generated and available for end users by the times agreed for each scheduled report • Generating a simple report (see Annex 2 - NI Regional Planning IT System Reports for examples) completes within 15 seconds • Generating a moderately complex report (see Annex 2 - NI Regional Planning IT System Reports for examples) completes within 30 seconds
NF-PER-2	**On-Screen Indication** Where users execute functions such as large and complex reporting, uploading files which cannot be completed within a near instant response time an on-screen indication must be given that the request has been received and is being processed. The indicator should convey to the user the progress of the activity.

5.5 Availability, Backup & Recoverability

Reference	Description
NF-ABR-1	**Availability** The NI Regional Planning IT System must meet the availability measures detailed in Key Performance Indicator 1 (*Availability of the NI Regional Planning IT System during peak hours*) & Key Performance Indicator 2 (*Availability of NI Regional Planning IT System during off peak*) as defined in Schedule 2.2 (Performance Levels).
NF-ABR-2	**Backup** The NI Regional Planning IT System must include data backup and recovery protocols to ensure that there is no data loss whilst meeting the requirement stated in NF-ABR-3 and NF-ABR-4.

Reference	Description
NF-ABR-3	**Recovery Time Objective** The NI Regional Planning IT System must meet a Recovery Time Objective (RTO) of 30 minutes.
NF-ABR-4	**Recovery Point Objective** The NI Regional Planning IT System must meet a Recovery Point Objective (RPO) of 15 minutes.

5.6 Security

Reference	Description
NF-SEC-1	**Accreditation** The NI Regional Planning IT System will hold data with a Security Classification of "OFFICIAL-SENSTIVE" and is subject to accreditation in accordance with Paragraph 6 of Schedule 2.4 (Security Management).
NF-SEC-2	**User Passwords** The NI Regional Planning IT System must adhere to password polices as defined by the Authority (i.e. password complexity, account locking, password reset, password changes) where users are logging in with username and password.
NF-SEC-3	**Multi-Factor Authentication** The NI Regional Planning IT System must use Multi-Factor Authentication where Business Users are able to login with a username and password.
NF-SEC-4	**Audit and Protective Monitoring** The NI Regional Planning IT System must enable the Supplier to meet their security obligations described in Paragraph 6 Audit and Protective Monitoring of Annex 1 to Schedule 2.4 (Security Management).
NF-SEC-5	**Secure Architecture** The NI Regional Planning IT System will meet relevant National Cyber Security Centre (NCSC) Advice and Guidance as referenced in Paragraph 7 Secure Architecture of Annex 1 to Schedule 2.4 (Security Management).

5.7 Accessibility & Usability

Reference	Description
NF-AUX-1	**Accessibility** The NI Regional Planning IT System must comply at all times with the accessibility standard as defined in paragraph 6 of Schedule 2.3 (Standards).
NF-AUX-2	**Usability** The NI Regional Planning IT System must operate efficiently, be user centred and therefore intuitive.

Reference	Description
	Principles of interface usability that the system must adhere to include: • Designed for users and their tasks • Is consistent • Uses simple and natural dialogue • Reduces unnecessary mental effort by the user • Provides adequate and relevant feedback • Lets the user drive (tasks flow in a natural order) • Validates input and reduces errors by guiding the user through a task • Eliminates re-keying and/or re-uploading, of information already entered in the solution
NF-AUX-3	**Help** The NI Regional Planning IT System must provide ready access to context sensitive on-line help.
NF-AUX-4	**Print** The NI Regional Planning IT System must provide an authorised user the means to view or print data, including data that has been archived. The NI Regional Planning IT System must allow each user to determine the location of printing and select appropriate print attributes.

5.8 Mapping & Addresses

Reference	Description
NF-MAP-1	**Spatial NI – Web Service** Spatial NI is Ordnance Survey of Northern Ireland's web mapping platform which supplies Ordnance Survey products as web services that can be leveraged and interrogated by other systems. The NI Regional Planning IT System must appropriately use the: • ESRI REST services (secured and authenticated URL's (using an application whitelist) provided for integration); and • OGC WMS/WMTS secured using digest web tier authentication (a username and password will be supplied which will need encrypted in the application code).
NF-MAP-2	**Spatial NI – Digital Copy** The NI Regional Planning IT System must take the following digital copies from Spatial NI: • Raster map formats – .jpg, .tif, .ecw ; however, depending on which raster maps NIPP uses, some formats are supported, while others are not (e.g. Orthos only come in .jpg and .ecw file format; Small Scale raster maps are supplied in .jpg and .tif) • Large Scale maps/OSNI Fusion – (ESRI) .gdb, (Autocad) .dxf and .dwg, (MapInfo).tab • Pointer Address and Property data – .csv • CPD (central postcode directory) – (Microsoft Access) .mdb and .csv • Enhanced DTM (height data) – (Autocad) .dxf • OSNI Fusion Identifiers

Reference	Description
NF-MAP-3	**Grid Systems** The NI Regional Planning IT System must be capable of accepting and displaying information using the following grid coordinate systems: • TM65 – Irish National Grid • TM75 – Irish National Grid • Irish Transverse Mercator (ITM)
NF-MAP-4	**Addin's for GIS Products** The NI Regional Planning IT System should integrate with electronic mapping (GIS) such as ArcGis.
NF-MAP-5	**Constraint Layers** The NI Regional Planning IT System must present all required constraint layers, as selected by users, with no limit on the total number of constraint layers that the system can provide.
NF-MAP-6	**Center Point** The NI Regional Planning IT System must iIdentify the center point of a plot and record this.
NF-MAP-7	**Addresses** The NI Regional Planning IT System must provide an up to date address gazzetter.

5.9 Interfaces & Data Sets

Reference	Description
NF-IDS-1	**Interfaces** The NI Regional Planning IT System must integrate with all related internal and external systems as detailed in Annex 1 - NI Regional Planning IT System Interfaces of this Schedule 2.1 (Services Description).
NF-IDS-2	**Data Sets – DfI Statisticians** DFI Statisticians have a statutory duty to analysis and report upon planning activity within Northern Ireland. The NI Regional Planning IT System must record all necessary data fields to enable legislative reporting requirements in relation to be met, A new interface / process is required to deliver a range of planning datasets required by DFI Statisticians. The datasets are used as input into statistical packages. A number of datasets are required to be produced, on demand by DFI Statisticians, according to defined criteria. Suppliers must provide an intuitive interface for use by DFI Statisticians, in creation of the required datasets, and for the secure transmission of output files to DFI Statisticians. Statistical analysis evolves in light of planning and NICS reporting requirements.

Reference	Description
	Suppliers must make allowance for changes to the criteria per dataset, and for additional planning datasets, as required by DFI Statisticians.
NF-IDS-3	**Data Sets – Consultee Organisations** For a number of external consultee organisations and external applications, including but not limited to, DfC, DAERA and SES, extracts planning application data to aid consultation exercises undertaken by the organisation. The Supplier must develop, test and implement an interface to allow the required planning data, as determined by the Authority, to be consumed by external consultee applications. The Supplier will be required to work with Authority and Consultee IT staff on the testing and implementation of the interface.
NF-IDS-4	**Data Sets – DfI Corporate GIS** The Authority consume GIS and planning data for services for Local Councils and other NICS departments. The Supplier must develop, test and implement an interface to allow required planning data, as determined by the Authority, to be consumed by DFI GIS system. The Supplier will be required to work with DFI IT staff on the test and implementation of the interface.
NF-IDS-5	**Interface – PACNI** The NI Regional Planning IT System must provide facilities for the secure transmission of electronic documents held by the relevant Planning Department in relation to any tribunal/case. The exact list of documentation that can be associated to a case will vary any the exact list of electronic documentation will need to be defined by PACNI and the Authority. The exact mechanism for making the electronic files available has yet to be fully agreed. The NI Regional Planning IT System must provide an intuitive interface for use by Authority staff in the selection of the required documents, as agreed with PACNI, for a given PACI tribunal/case, and for the secure transmission of documents to PACNI.
NF-IDS-6	**Data Sets – Publically Available** A number of commercial organisations consume planning data in the delivery of added value services. A number of datasets are required to be produced on demand through a publically available interface. The Supplier must develop, test and implement a public facing facility to allow required planning data, as determined by the Authority, to be available for download. There are currently 5 (five) possible datasets of planning data available to the public.
NF-IDS-7	**Open Data** The NI Regional Planning IT System must provide the open datasets as detailed in Annex 4 – Open Data of this Schedule 2.1 (Services Description).

5.10 Data, Retention & Deletion

Reference	Description
NF-DRD-1	**Data Validation and Field Formatting** The NI Regional Planning IT System must appropriately validate data which is entered and provides measureable, well defined assurance for fitness, accuracy and consistency, either via the user interface or any other input method supported by the NI Regional Planning IT System. Validation rules may include controls such as constraining the data type, format, and value ranges permissible on a field by field basis. Where the outcome is a failure to meet validation appropriate error messages to enable action to be taken are required.
NF-DRD-2	**Data Linking** The NI Regional Planning IT System must allow cases (i.e. applications, appeals, enforcements, TPO's etc.) to be linked.
NF-DRD-3	**Application Classifications and Data Fields** The NI Regional Planning IT System must allow the classification of any application by its legislative provision. The NI Regional Planning IT System must provide a wide range of data fields to capture and report information which includes all data from the current Northern Ireland Planning Portal (as further described in Annex 3 – Data Migration).
NF-DRD-4	**Data Restriction** The NI Regional Planning IT System must enable the marking of documents to restrict their sharing to specific user types and/or consultees.
NF-DRD-5	**Data Export** The NI Regional Planning IT System must enable the migration of all stored data into subsequent future systems as determined by the Authority. Also note obligations in Schedule 8.5 (Exit Management).
NF-DRD-6	**Retention** The NI Regional Planning IT System must provide functionality for the retention of current and historic data in accordance with good industry practice, including as a minimum: legislative requirements including, but not limited to, the: • Data Protection Act 2018 • General Data Protection Regulation 2018 • IA/DPIA Policy • Retention Policy
NF-DRD-7	**Physical Deletion** The NI Regional Planning IT System must allow physical deletion of data and documents by Internal Users and System Administrators to enable GDPR obligations to be met. The physical deletion of data must be controlled by defined business and system rules.

5.11 Audit

Reference	Description
NF-AUD-1	**Audit Logging** The NI Planning IT Solution must provide a non-repudiation audit capability which captures a detailed audit log for all aspects of system usage, including both user (all user types including system administrator) and system to system interaction. The audit log contents should be easy to search, query on and report using end-user system features and in a format which is decipherable by appropriately trained users, and ideally presents information in a form as close to readable English language text as possible rather than rely on the use of excessive numbers of codes or references, except where appropriate to do so. The audit log store must be secure and appropriately protected from unauthorised access. Log records should not be alterable for any reason, and the audit log itself should only be accessed by appropriately authorised users.

5.12 Language

Reference	Description
NF-LNG-1	**Language** The NI Regional Planning IT System must support multi-lingual language (in addition to UK - English) and data set requirements for the following: • Templates with multi-lingual branding; and • Use of characters reflective in Irish language for data entry through user interfaces and system interfaces.

5.13 System Administration

Reference	Description
NF-ADM-1	**User Account Administration** The NI Regional IT Planning System must provide an intuitive and efficient facility for a System Administrators within each Planning Authority: • to create, temporarily lock, and disable/close user accounts; • unlock user accounts and reset user passwords; • create new user role types; • assign one or more user role types to a user; and • allocate roles/permissions to user role types.
NF-ADM-2	**Local Configuration** The NI Regional IT Planning System must provide an intuitive and efficient facility for a System Administrator within a Planning Authority to amend their Planning Authority specific configurable attributes through a GUI, including but not limited to: • Templates (including letters, e-mails, case reports); • Local Business Rules; • Scheme of delegation; • Local Charge Calculation parameters; • Local Alerts; • Bank & Public Holidays (which must reflect in processing targets/KPIs and reports); • Adding or removing consultees from pick lists; and • Adding or removing conditions from local pick lists.

Reference	Description
NF-ADM-3	**Global Configuration** The NI Regional IT Planning System must provide an intuitive and efficient facility for a system administrator to amend global Planning Authority configurable attributes through a GUI, including but not limited to: • Fee Calculation parameters (Legislatively based); • Templates (including letters, e-mails, case reports); • Global Business Rules; • Global Alerts; • Adding or removing consultees from pick lists; and • Adding or removing conditions from global pick lists.
NF-ADM-4	**Local Data Management** The NI Regional IT Planning System must provide an intuitive and efficient facility for a System Administrator within a Planning Authority to amend their Planning Authority data which other user types cannot amend.

5.14 System Monitoring

Reference	Description
NF-MON-1	**System Monitoring** The NI Regional Planning IT System must provide real-time capacity and performance monitoring across the whole system for a wide range of transaction types. Authority staff must have access to the analytics facility and its reporting capability.

5.15 Electronic Signatures

Reference	Description
NF-SIG-1	**Electronic Signatures** The NI Regional Planning IT System must be compliant with UK electronic identification and trust services (eIDAS) regulations and standards. (https://www.gov.uk/government/publications/electronic-signatures)

5.16 Notifications

Reference	Description
NF-NOT-1	**Email Notifications** The NI Regional Planning IT System must provide email communications for external facing on-line services. The NI Regional Planning IT System may use the UK's national notifying service, (currently Notify, provided by Government Digital Service (GDS)) to provide e-mail communications for external facing on-line services. Where Notify is used the NI Regional Planning IT System must integrate with each Planning Authority's own Notify account.

Reference	Description
	The NI Regional Planning IT System must manage failed delivery of email notifications by recording failed delivery and alerting the relevant Planning Authority. An Officer must have the ability to resend an email and for the system to record this fact. The choice of e-mail should take into account an applicant's preferred means of communication as well as overriding legislation or local policy.
NF-NOT-2	**SMS Notifications** The NI Regional Planning IT System must use the UK's national notifying service, (currently Notify, provided by Government Digital Service (GDS)) to provide SMS communications for external facing on-line services. The NI Regional Planning IT System must integrate with each Planning Authority's own Notify account. The choice of SMS should take into account an applicant's preferred means of communication as well as overriding legislation or local policy. The system must enable each Planning Authority to op in/out of offering SMS notifications. The NI Regional Planning IT System must manage failed delivery of SMS notifications which includes attempting an alternate means and alerting the relevant Planning Authority.
NF-NOT-3	**Letter Notifications** The NI Regional Planning IT System must use the UK's national notifying service, (currently Notify, provided by Government Digital Service (GDS)) to print and dispatch written communications. An Officer must have the ability to locally print, including select a destination for local bulk printing. An Officer must have the ability to resend a letter(s) and for the system to record this fact. The NI Regional Planning IT System must integrate with each Planning Authority's own Notify account. The use of letter as a communication means should take into account an applicant's preferred means of communication as well as overriding legislation or local policy.
NF-NOT-4	**Style Guides** The NI Regional Planning IT System must adhere to the style guides in place for each Planning Authority for all communication channels/outputs.

5.17 Payments

Reference	Description
NF-PAY-1	**Payment Service**

Reference	Description
	The NI Regional Planning IT System must use the UK's national payment service, (currently Gov.Pay), provided by Government Digital Service (GDS)). The NI Regional Planning IT System must integrate with each Planning Authority's own Gov.Pay account.

5.18 RateIT

Reference	Description
NF-RIT-1	**RateIT Service** The NI Regional Planning IT System must use the RateIT service (and replacement) provided by NIDirect to gather feedback from online users.

6 Implementation Services

6.1 Introduction

6.1.1 The Department and the 11 local Councils have been working collaboratively together to deliver a new planning IT system. The Department will, on behalf of the 12 Planning Authorities, act as the lead for the new IT system.

6.1.2 The implementation of the new system will be based on the following principles:

- The Supplier will work collaboratively with the Authority and Third Parties;
- The new system must provide the full specification "must haves" when first operational;
- The Supplier ensure the effective and efficient transfer of data to the new system;
- The new system will be implemented across Planning Authorities on a phased approach as described in section 6.8 Transition;
- The new system and its rollout must cater for in-flight planning applications, statutory monitoring and statistical reporting;
- The implementation period should be kept to a minimum whilst ensuring a high quality solution is delivered;
- Configuration of components is preferable to bespoke development provided the requirement can be met and provides an efficient and effective solution for users;
- A cohesive design for all Planning Authorities is desired that minimises the implementation effort, maintenance and operating cost of the solution whilst achieving the localisation required within specific requirements; and
- The Authority will work collaboratively with the Supplier and provide an appropriate level of resources to support the implementation phase.

6.1.3 An overview of the Authority's intended resources to support the project along with the decision making forums is included in Annex 5 – Project Structure & Governance.

6.1.4 The Authority wishes to implement the new NI Regional Planning IT System that would enable the contractual support to the existing NIPP to be stopped as soon as possible after the award of this contract. The Authority envisages that the NI Regional Planning IT System will be fully implemented (i.e. including the transition which is envisaged to be completed over a circa 8 month period) within 36 months of the Effective Date.

6.1.5 The Authority project resources will be centrally based in Clarence Court, Belfast and the Supplier will be required to work on site with the Authority. The Authority will provide desk space for a circa 15 Supplier staff to work on site.

6.1.6 Implementation Services have been grouped under the following themes:

- Project Management;
- Design, Configuration & Development;
- Interfaces;

- Testing;
- Data Migration;
- Training; and
- Transition.

6.2 Project Management

6.2.1 The Supplier shall provide and follow a robust project management approach to ensure the successful end-to-end design, configuration, development, testing, data migration, cutover and go-live of the NI Regional Planning IT System across all of the Planning Authorities. The Supplier's project management approach shall cover the following areas as a minimum:

- Responsibility for all contracted deliverables;
- Management of its own staff;
- An approach for documenting, reviewing and implementing lessons learned throughout the implementation of the NI Regional Planning IT System;
- Management and/or engagement with the Authority and Planning Authority staff or any other Third Parties to ensure project deadlines are met;
- A comprehensive communication and reporting protocol to support the delivery of the NI Regional Planning IT System throughout the entire project lifecycle; and
- A comprehensive risk and issue management process using industry standard protocols. This includes documenting their process for change management (aligned with Schedule 8.2 Change Control Procedure) that will include the change description, delivery timescales and resources required to ensure delivery is achieved within time, quality and cost constraints and within agreed tolerances.

6.2.2 The Supplier shall establish and maintain a governance structure to oversee the Implementation phase of the NI Regional Planning IT System as per Schedule 8.1 (Governance).

6.2.3 The Supplier shall appoint key roles including the project manager, with overall responsibility for the successful implementation of the NI Regional Planning IT System, and supporting leads for the phases of work as set out in the implementation plan in Schedule 6.1 (Implementation Plan). The project manager and supporting leads names and roles shall be defined in Schedule 9.2 (Key Personnel).

6.2.4 The Supplier shall produce and maintain Detailed Implementation Plan which they will agree with the Authority and transparently report against in line with paragraph 3 and 4 of Schedule 6.1 (Implementation Plan). The Supplier shall produce and maintain a Deliverables Log on the same basis.

6.3 Design, Configuration & Development

6.3.1 The Supplier shall be responsible for all design, configuration and development work required to deliver the NI Regional Planning IT System to meet the requirements described in section 4

NI Regional Planning IT System Requirements – Functional Requirements, 5 NI Regional Planning IT System - Non-Functional Requirements. The Supplier shall be responsible for providing tools that support this activity, producing and maintaining artefacts to capture the planning output and report against progress.

6.3.2 The Supplier shall work collaboratively with the Authority and its Third Parties to complete design, configuration and development activities. This includes all activity to ensure that the system works on the end user devices of the Authority, its Third Parties and public users. The Supplier acknowledges that online services will be providing new functionality for end users and must account for this within their approach.

6.3.3 The Supplier shall apply a security by design approach to its implementation to meet relevant National Cyber Security Centre (NCSC) Advice and Guidance as referenced in Paragraph 7 Secure Architecture of Annex 1 to Schedule 2.4 (Security Management). The Authority intends to review the architecture against these requirements and the Supplier must provide necessary documentation and engagement to support this review activity. The Authority plans for this review commencing early in the implementation phase (i.e. to fully understand how the Supplier intends to meet the security requirements across all aspects of hosting, application and interfaces) and during the development to confirm that secure architecture principles have been applied.

6.3.4 The Supplier shall develop and share with the Authority for review and agreement Documentation which supports and captures the output of design, configuration and development of the NI Regional Planning IT System. Documentation must include (or alternatives where agreed with the Authority):

- **High Level Process Design**: documents and describes the inputs, outputs, integration points, technology and organisational components, performance measures, and other key attributes for the in-scope processes. It must include a process overview, key decisions, assumptions, gaps, approval matrix, process map and steps, notifications, and linked documents.

- **Requirements Tractability Matrix**: provides a single location for requirements and their related deliverables. It will contain the detailed requirements necessary to implement the solution.

- **Use Cases**: capture the system behaviour in achieving one or more desired goals from the perspective of the end user

- **Configure & Development Scope**: an inventory of functional configuration and development objects, including forms, reports, interfaces, conversions, enhancements, workflows, portals, mobile applications, business intelligence objects, and data transformation objects. The list should include new functional development objects and any modifications to standards objects with details on effort estimation and complexity levels.

- **Logical Infrastructure Design**: describes the relationship of system interactions (interfaces/protocols) within the system and extending to external systems which are impacted.

- **Physical Infrastructure Design**: depicts both the production and non-production physical hardware and network requirements of the infrastructure.

- **Conceptual Data Model**: establish the entities, their attributes, and their relationships.

- **Data Dictionary**: detailed information about the business data, such as standard definitions of data elements, their meanings, and allowable values.

- **Identity & Access Management Solution Design**: defines the separate architectural views that represent structural aspects of the solution architecture, and illustrate how the architecture addresses stakeholder's requirements and concerns. Collectively, these views describe a solution design of the identity and access management (IAM) system.

- **Interface Catalogue**: documents the interfaces (internal and external) that form part of the overall solution.

- **Interface Specifications & Designs**: describe all necessary information to enable a third party system to connect to the NI Regional Planning IT System.

- **Risk Management Documentation**: as described in Schedule 2.4 (Security Management).

- **Security Based Role Design**: documents the Security Base Roles that reflect the assignment of functional tasks, segregation of duty (SOD) concepts, and required data restrictions.

- **Product Roadmap**: describes the product's lifecycle including upcoming features, extended support and end of support.

6.3.5 Where the Supplier is developing new functionality for Public Users they shall adhere to the relevant nidirect principles, guidance and resources which can be found at: http://uxm.nidirect.gov.uk/index.html unless agreed otherwise in writing by the Authority.

6.4 Interfaces

6.4.1 The Supplier shall implement the interfaces as detailed in Annex 1 - NI Regional Planning IT System Interfaces to ensure that the NI Regional Planning IT System effectively integrates with all related internal and external systems.

6.4.2 The Supplier shall ensure that the NI Regional Planning IT System provides the data in Annex 4 – Open Data.

6.4.3 The Supplier shall follow good practice and all conduct sufficient testing to ensure the interfaces operate effectively.

6.4.4 The Supplier shall develop and share with the Authority for review Technical Documentation which supports the delivery and support of all interfaces associated with the NI Regional Planning IT System. This documentation must be sufficient to enable competent third parties to supply or consume services through the interfaces.

6.4.5 The Supplier shall work with the Department for Infrastructure Digital Services Branch to ensure that the interfaces to the Department's GIS are implemented in the most effective manner.

6.4.6 The Supplier shall implement additional interfaces as directed by the Authority during the Term, including the implementation phase. Additional interfaces will be agreed following the procedures in Schedule 8.2 (Change Control Procedure).

6.5 Testing

6.5.1 The Supplier must develop and implement a test strategy for the new NI Regional Planning IT System to support its delivery.

6.5.2 The Supplier shall develop and agree the Test Strategy within 4 weeks of the Implementation Services Commencement Date or otherwise agreed with the Authority.

6.5.3 The Test Strategy shall show a clear path to live operation and must detail the test scope, deliverables, test types, milestones, roles and responsibilities, resources, effort, tasks, testing communications, reporting protocols, test data management activities and tooling.

6.5.4 The Test Strategy shall provide the information defined in these requirements and Schedule 6.2 (Testing Procedures) for the following tests and be appropriate to reveal useful information about risks concerning the solution, so that stakeholders can make informed decisions about whether or not the solution should be taken into live operation:

- Unit testing;
- System testing (including role based security testing);
- System integration testing (including all associated interfaces);
- Supplier Security vulnerability testing;
- Usability and Accessibility testing;
- User acceptance testing;
- Performance and stress testing;
- Infrastructure testing;
- Independent IT Health Check;
- Disaster recovery testing; and
- Regression testing.

6.5.5 The Test strategy must employ different techniques alongside “scenario-based testing” and where risk-based testing is agreed by the Authority for specific tests the Supplier shall collaboratively support the prioritisation of aspects to be tested.

6.5.6 The Supplier must work with the Authority to identify the level of staff required and availability for user testing activities. The Supplier should assume that no more than 12 staff will be provided for user testing at any stage.

6.5.7 The Supplier shall be responsible for the development of agreed test plans, test scripts including success criteria, test execution and reporting for the test types detailed in the Test Strategy (with the exception of User Acceptance Testing) and provision of test data for each stage of the NI Regional Planning IT System delivery and any subsequent updates.

6.5.8 The Supplier shall be transparent in providing evidence of the testing that they have conducted.

6.5.9 The Supplier must provide a working demonstration of the system at each test phase as part of the test exit criteria, including but not limited to; the creation of GI layers, scanning/uploading documents, uploading digital documents, test payment transactions and record management features. The Authority is content for the verification test to be conducted using test data or data from another source provided the information asset owner is content that the data is used for verification purposes.

6.5.10 The Authority shall be responsible for conducting (either directly or through a third party) the Usability Testing and where this identifies recommendations to overcome usability issues these shall be rectified by the Supplier at no additional cost to the Authority.

6.5.11 The Supplier shall collaborate with the Authority to support appropriate User Acceptance testing, including training staff in the use of the system, supporting development of test scripts and success criteria and providing the test environment pre-populated with user roles, constraint layers and test data (including migrated data). The user acceptance testing must enable users to verify that the functionality delivered fully meets the Authority's specified requirements. The Authority will provide up to 12 staff for User Acceptance Testing. The Supplier shall adequately train User Acceptance Testing staff ahead of User Acceptance Testing and support the Authority during User Acceptance Testing.

6.5.12 The Supplier shall provide the Authority resources (and their nominees) with access to test management tools and test information to enable efficient, effective and collaborative working in relation to all test activities (e.g. test scripts, test progress, defect recording and fix tracking).

6.5.13 The Supplier shall provide and support all test environments required during the implementation phase.

6.5.14 The Supplier shall provide on-site support during User Acceptance Testing and for all testing phases where the Authority is involved.

6.5.15 The Supplier acknowledges that the Independent IT Health Check will be carried out by a Third Party nominated by the Authority and that the Detailed Implementation Plan must have sufficient time allocated to conduct this testing and for the Supplier to remedy actions/defects arising from this testing.

6.5.16 The Supplier shall work collaboratively with the Authority to prioritise defects discovered during testing and agree a prioritised plan for correction.

6.5.17 The performance testing undertaken by the Supplier of the NI Regional Planning IT System shall include operational acceptance testing within the pre-production environment to ensure adequate performance of the solution.

6.5.18 The Supplier shall provide appropriate anonymised data for all testing activities, including User Acceptance Testing.

6.5.19 The Supplier shall plan for and ensure that migrated data is used appropriately during User Acceptance and Performance Testing.

6.6 Data Migration

6.6.1 The current NIPP systems includes a large volume of existing data related to historic and current planning applications. Some of these applications date back to 1974 and have previously been migrated to the current system from paper records as well as previous IT systems. This information is owned by the individual Planning Authorities.

6.6.2 The Supplier shall be responsible for successfully migrating all data from the current Northern Ireland Planning Portal (as further described in Annex 3 – Data Migration) to the live NI Regional Planning IT System.

6.6.3 The migration of data from the NIPP system to the new NI Regional Planning IT System will require careful consideration and planning by the Supplier.

6.6.4 The Supplier should note that the Authority's required transition approach as described in section 6.8 Transition and any impact that this may have on the data migration approach.

6.6.5 The Supplier shall work with the supplier of the NIPP system, the Authority and Third Parties to ensure the effective and efficient transfer of data to the new system.

6.6.6 The Supplier shall develop, agree with the Authority and implement an effective Data Migration Plan ensuring that all data to be transferred is done so securely with no loss, degradation or corruption. The Data Migration Plan shall at a minimum describe:

- the detailed end to end data migration approach including stages and steps;
- the scale and frequency of importing data from NIPP;
- the proposals for any data cleansing;
- how the quality and integrity of data will be maintained during data migration; and
- the effort, tasks and responsibilities of all parties involved.

6.6.7 The Supplier shall test the data migration approach to ensure that data will be migrated in a way which maintains its quality and integrity. The outcome of the data migration tests must be reported to and approved by the Authority.

6.6.8 At each phase of the data migration process the Supplier shall provide a report to the Authority which confirms that all data has been securely migrated with no loss, degradation or corruption. This report will include any exception reports where problems have been identified and proposed solutions as to how these can be rectified.

6.6.9 The Supplier shall ensure that the new system enables the effective and efficient transfer of data in the future (to any replacement system) in accordance with Schedule 8.5 (Exit Management).

6.6.10 The Authority recognises that there may be benefit to performing some data cleansing as part of the data migration activities. As part of the scope of responsibilities and within the tendered cost the Supplier shall conduct a data quality assessment and provide options for cleansing data with costs, timescales and benefits.

6.7 Training

6.7.1 The new system will be used by several key groups: Departmental and Council staff; consultees; agents and the public.

6.7.2 The Authority will be leading a Business Change team and will be adopting a “train the trainer” approach, whereby the Authority once trained by the Supplier will deliver training to end users.

6.7.3 The Supplier must work collaboratively with the Authority in order to develop and deliver an overall training curriculum which covers the new system and associated business change.

6.7.4 The Supplier must agree with the Authority and deliver a detailed training plan. The training plan and the Supplier deliverables must include:

- Approach to train the trainer (e.g. planners, consultees, by role);
- Production of Training materials;
- Production of User Manuals (separate training manuals for Public Users, Consultee’s, Planning Administrators and Officers, and System Administrators);
- Production of Video in-line help/guidance;
- Training environment and roll-back facility;
- Review of training materials and environment;

- Completing a Training pilot and review; and
- Scheduling and delivery of training courses (training for user acceptance training, train the trainer and System Administration Training).

6.7.5 The Supplier must train nominated users (circa 24) in all aspects of the system through classroom based training, to enable user acceptance testing.

6.7.6 The Supplier must train the trainers (circa 50) who will deliver training to end users through classroom based training.

6.7.7 The Supplier must train (circa 24) nominated users in the System Administration functionality through classroom based training. The training must equip these users with the skills, knowledge and materials required to provide initial diagnosis and troubleshooting of faults and incidents. This must include as a minimum:

- administration tool(s);
- error detection and resolution;
- system setup and configuration; and
- administrative functions such as roles, users and maintenance.

6.7.8 The Supplier must deliver all training at locations (within Northern Ireland) specified by the Authority.

6.7.9 The Supplier must make available a version of the NI Regional Planning IT System that can be used for training, throughout testing, deployment and post go-live for appointed Authority users for training purposes. This training version must replicate the live system in structure and user roles, with representative data in sufficient volume to test all features. The training data must be anonymous. The training version must be rolled back / refreshed by the Supplier as required to support training delivery and updated in line with all upgrades and patches to the live solution.

6.7.10 The Supplier must refresh the data within the training version on an as required basis to support training activities.

6.7.11 The Supplier shall develop the training materials in co-operation with the Authority that can be used to deliver training to end users ahead of their go-live.

6.7.12 The Supplier shall provide on-line training material and guidance for internal and external users.

6.7.13 The Supplier shall produce all necessary user and system documentation which will be provided to the Authority, and ownership of same will pass to the Authority upon receipt.

6.7.14 The Supplier shall provide training documentation electronically and in editable form in MS Word, MS Excel, MS PowerPoint, MS Visio or MS Project (in version compatible with the Authority systems) in advance of the training to be provided. The Authority must be permitted to, without any charge or copyright infringement, edit, reproduce and make available the documentation (in part or in its entirety) for use by the Authority staff and agents. The Supplier shall update documentation following any substantial fix, upgrade or release.

6.7.15 Training documentation must also be provided to the Authority and in electronic format that enables it to be hosted on a range of Authority nominated websites.

6.8 Transition

6.8.1 Transition from the existing solution to the NI Regional Planning IT System is considered by the Authority to be a complex process and therefore a phased approach whereby lessons can be learned and applied is required.

6.8.2 The Authority envisages that the transition will be completed in circa 8 months.

6.8.3 The Authority identified parameters to guide the transition approach, however these are subject to refinement and change:

- initial Go-Live will be one Local Council Planning Authority, DfI Planning Authority and the Regional Property Certificate Unit in order to minimise risk and capture lessons learned;
- all on-line functionality must be available at the initial go-live;
- there must be a minimum duration of 3 months following the initial go-live before subsequent roll-outs;
- hypercare will be provided following each go-live;
- user training for go-lives post the initial go-live will not commence until the new system has stabilised in live operation; and
- the duration between go-lives must be sufficient to allow the training of users and any data migration activities.

6.8.4 The Supplier must develop a Transition Plan using an industry standard project planning methodology detailing how the phased approach will be delivered.

6.8.5 The Supplier must agree the Transition Plan with the Authority no later than two months prior to the initial go-live date.

6.8.6 The Supplier shall lead transition activities, liaising with incumbent suppliers and suppliers of related 3rd party applications and systems to plan, document and agree the stages, resources and responsibilities of all parties to ensure a seamless transition with no disruption to Planning Authorities day-to-day services.

6.8.7 The Supplier shall provide Deliverables including a Transition Approach, Technical Readiness Criteria, Detailed Cutover Task Plan, Roll-Back Plan.

6.8.8 The Authority will develop Business Readiness Criteria which will be used in conjunction with the Technical Readiness Criteria to support decision making to proceed with go-live activities.

6.8.9 The Supplier shall be responsible for developing, testing, refining and executing all technical aspects of an overall transition plan.

6.8.10 The Supplier will work with the Authority in advance of go-live to provide all technical elements required for live operation such as a live environment, user accounts, system permissions, and any equipment requirements specified in their proposed solution. This includes the transition of current Secured Credentials Platform accounts (or their replacement).

6.8.11 The Supplier shall provide heightened support (“hypercare”) to the Authority before, during and immediately after the go-live period for each Planning Authority for a period of at least three weeks and until the NI Regional Planning IT System has met hypercare exit criteria for each go-live. The Parties shall agree reasonable criteria to be met which will inform the conclusion of the hypercare period.

6.8.12 During the implementation phase the Supplier shall provide and agree with the Authority a Service Code of Practice (SCOP) which will define the service management arrangements in respect of:

- Incident management;
- Problem and fault resolution;
- Release management;
- Change management;
- Risk management;
- Quality management;
- Version control;
- Maintenance services;
- Availability management;
- Capacity management;
- Escalation channels;
- Data Management;
- Graphical Information Management;
- Information & security management;
- Service desk; and
- Roles and responsibilities.

6.8.13 The Supplier must provide a comprehensive suite of trouble-shooting scripts in advance of go-live for their solution, which can be used by each Planning Authority's first line (Helpdesk) and second line support teams to assist with fault diagnosis/resolution.

7 Operational Services

7.1 Introduction

7.1.1 The Authority requires a full managed service for the NI Regional Planning IT System once it is operational. Given the strategic importance of the planning service a proactive and responsive service is required of the Supplier.

7.1.2 The Supplier shall ensure that the NI Regional Planning IT System is operational and continues to comply with and achieve the NI Regional Planning IT System requirements detailed in this Schedule 2.1 (Services Description) from the Operational Service Commencement Date in accordance with the Implementation Plan.

7.1.3 Operational Hours shall consist of Core Operational Hours and Non-Core Operational Hours as follows:

- Core Operational Hours: 08:00 – 18:00 Monday to Friday excluding Northern Ireland Bank and Public Holidays; and
- Non-Core Operational Hours: all other times that are outside of Core Operational Hours.

7.1.4 A conceptual overview of the support model for the NI Regional Planning IT System is included in the diagram below. The Supplier shall work with the Authority to develop this Service Model during the Implementation phase and must accept that this model will evolve over time and they must accommodate these changes.

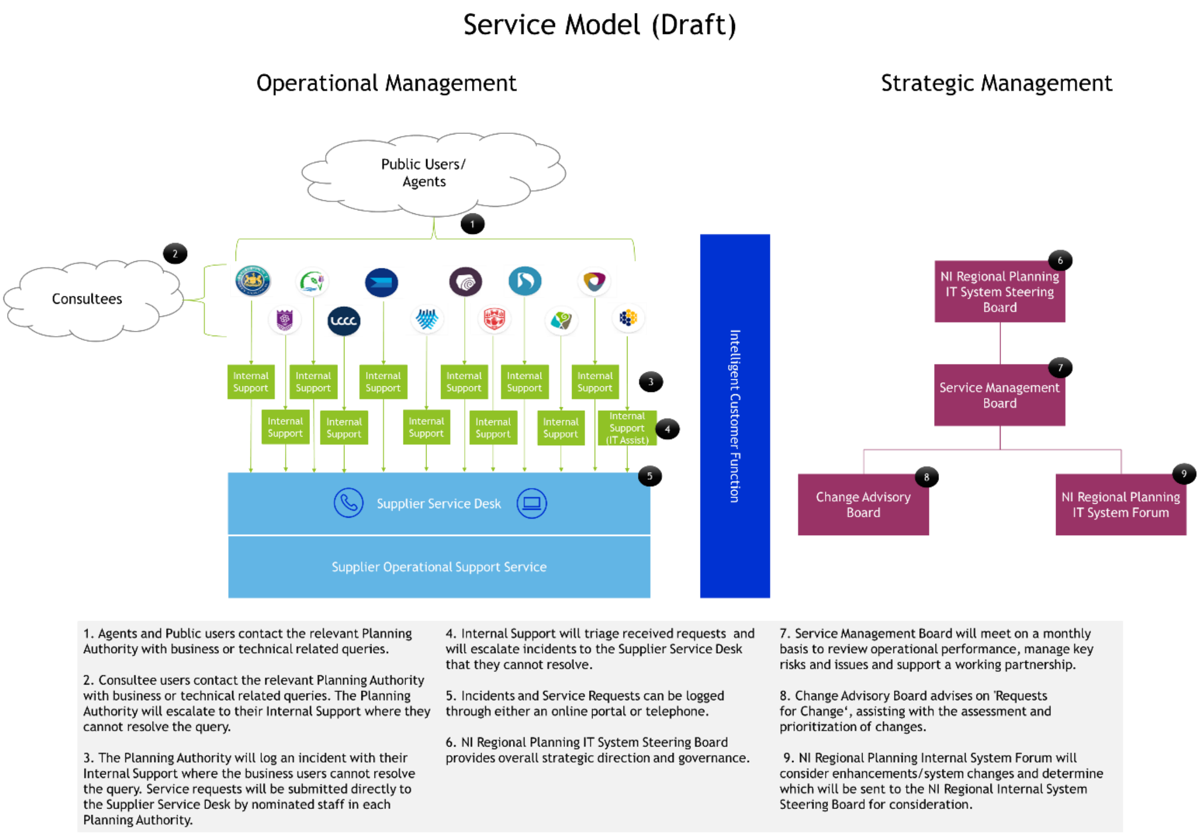

Figure 2: Conceptual Service Model

7.1.5 Operational Services have been grouped under the following themes:

- Service Management;
- NI Regional Planning IT System Monitoring & Maintenance;
- NI Regional Planning IT System Support;
- Security;
- Mapping & Constraint Layers; and
- Continuous Improvement.

7.2 Service Management

7.2.1 The Supplier shall appoint a Service Manager who will be the single point of contact for service matters.

7.2.2 The Supplier shall implement a service management approach in accordance with best industry practice such as ITIL v4 or equivalent good practice framework. The Supplier shall ensure that the proposed service management approach is appropriately resourced.

7.2.3 The Supplier shall update and maintain the Service Code of Practice (SCOP) developed pursuant to requirement described in paragraph 6.8.12 of the Implementation Services to ensure that it remains accurate throughout the Term.

7.2.4 The Supplier shall provide and report on all KPIs and SPIs as defined in Schedule 2.2 (Performance Levels) in line with the reporting requirements defined in Schedule 2.2 (Performance Levels) Part B (Performance Monitoring).

7.2.5 The Supplier shall ensure that appropriate personnel are appointed to and attend the Boards as defined in Schedule 8.1 (Governance). The representation and structure of the Boards will be agreed following Contract Award.

7.2.6 The Supplier shall maintain a Service Catalogue for Service Requests. Where system workarounds are required to enable the Authority requirements to be met these shall be included as free of charge Service Requests within the Service Catalogue.

7.3 NI Regional Planning IT System Monitoring & Maintenance

7.3.1 The Authority requires the Supplier to be proactive in monitoring and maintaining the NI Regional Planning IT System.

7.3.2 The Supplier shall provide comprehensive monitoring and reporting on the capacity and performance of the NI Regional Planning IT System.

7.3.3 The Supplier shall provide proactive monitoring of service provision and shall implement an ‘alert’ system, which will alert nominated Authority resources when a major incident arises.

7.3.4 The Supplier shall proactively monitor and manage any transfer of data to and from the NI Regional Planning IT System and any external interfaces, to ensure that information has been securely and accurately transferred, and that there has been “no data loss”.

7.3.5 The Supplier shall inform the Authority of, and manage, any circumstances where there is a failure in the transfer of data between the NI Regional Planning IT System and any external organisation and/or system.

7.3.6 The Supplier shall implement a comprehensive backup approach to ensure that the Performance Levels defined in Schedule 2.2 (Performance Levels) can be achieved.

7.3.7 The Supplier shall provide full release and deployment management for the NI Regional Planning IT System to ensure resolution of problems and incidents and the delivery of new functionality to ensure continuous improvement of the NI Regional Planning IT System. This will include the documenting, planning, scheduling, controlling and communicating of the build, test and deployment of releases.

7.3.8 The Supplier shall impact assess all software changes and provide this to the Authority Representative for consideration in a timely manner.

7.3.9 The Supplier will provide a schedule of regular software updates and ensure such updates are properly controlled, authorised, tested and approved through the use of configuration control packages before applying to the operational environment.

7.3.10 The Supplier shall be responsible for completing all Graphical Information Management activities required to maintain the NI Regional Planning IT System are completed.

7.3.11 The Supplier shall collaborate with the Authority to create and implement a Test Strategy (including User Acceptance Testing) for any significant updates or changes to the system during the contract period.

7.3.12 The Supplier shall take reasonable steps to ensure that the release of new functionality or bug fixes shall not impact the performance or the integrity of the NI Regional Planning IT System.

7.3.13 The Supplier shall test patches, enhancements or other system changes as such that they are ready to be introduced into the Production Environment by conducting the test activities it is identified as being responsible for in the Test Strategy. The tests to be carried out will be decided as part of the Change and Release Process and be appropriate to reveal useful information about risks concerning the solution, so that stakeholders can make informed decisions about whether or not the solution should be taken into live operation and may include planning, designing and executing one or any of the following phases of testing:

- Unit testing;
- System testing (including role based security testing);
- System integration testing (including all associated interfaces);
- Supplier Security vulnerability testing;
- Usability and Accessibility testing;
- User acceptance testing;
- Performance and stress testing;
- Infrastructure testing;
- Independent IT Health Check;
- Disaster recovery testing; and
- Regression testing.

7.3.14 The Authority will be required to agree the roll-out of any patches or enhancements and this process will be documented in the SCOP.

7.3.15 In order to minimise disruption to users, routine maintenance or upgrade work must be carried out outside of Core Operational Hours, unless otherwise agreed between the Authority and the Supplier, where a minimum of 3 working days' notice should be given to the Authority.

7.3.16 The Supplier must provide training documentation for any changes to the system throughout the life of the contract. **For the avoidance of doubt the charges for training material where the changes are as a result of defects, patches or maintaining N-1 are included within the Service Charges.**

7.3.17 The Supplier shall ensure, throughout the term of the Contract that all software versions to be at least N-1, (where N is the most recent version) and remain in mainstream support or, with the Authority's ongoing agreement, in extended support. For products approaching end of support (mainstream or extended support if agreed) the Supplier shall initiate plans, within 12 months of the end of this support, for upgrade/replacement of this software. **For the avoidance of doubt the charges for achieving N-1 are included within the Service Charges.**

7.3.18 The Supplier will update their solution to maintain compatibility with hardware or software upgrades/refresh applied by ESS, IT Assist and/or Councils. The Supplier will plan, test and implement this in conjunction with the Authority and Councils. **For the avoidance of doubt there will be no additional charges where the compatibility is in relation to operating systems or internet browsers.**

7.3.19 The Supplier shall maintain all technical documentation in relation to the NI Regional Planning IT System throughout the Term.

7.4 NI Regional Planning IT System Support

7.4.1 The Authority requires the Supplier to provide reactive support for NI Regional Planning IT System.

7.4.2 The Supplier shall provide support during Core Operational Hours in conformance with the performance levels detailed in Schedule 2.2 (Performance Levels). For the avoidance of doubt first level support will be provided by the Authority which shall include receiving, logging and triaging of all user calls.

7.4.3 The Supplier shall provide problem and incident management for the NI Regional Planning IT System and proactively manage all problems/incidents (application, service, etc.) through to resolution to the Authority's satisfaction which meets the Performance Levels defined in Schedule 2.2 (Performance Levels).

7.4.4 The Supplier shall enable the receipt incidents and problems via email, telephone helpdesk and online portal directly from Council and the departments nominated staff/resources.

7.4.5 The Supplier must adhere to the following general responsibilities for support:

- A service management tool must be used by the Supplier to track requests, queries and faults relating to support of the proposed solution;
- The Supplier must use call classifications to assess the priority and response to service incidents. Each call classification must be resolved within its KPI level, listed in Schedule 2.2 (Performance levels).
- The Supplier must adhere to ITIL principles for service management;

- it is the Supplier's responsibility to confirm with the Authority's end user that the call is 'Resolved'; and

- service level timers (SLTs) shall be used to measure fault resolution performance.

7.4.6 The Supplier must have an incident escalation process in place for those issues not resolved within the target resolution timescales set out in Schedule 2.2 (Performance Levels). The Supplier must ensure outstanding issues are escalated to appropriate management levels within the Supplier's and Authority's organisations.

7.4.7 The Supplier shall maintain all necessary development and test environments for the Supplier to complete any software development and fix activity, for the Authority to develop/configure aspects of the solution (e.g. templates) for which they have access as System Administrators and support any test activity with Third Parties.

7.4.8 The Supplier shall provide and maintain a Service Catalogue during the Term of the Contract.

7.5 Security

7.5.1 The Supplier shall ensure that it fulfils all of its obligations in relation to security as described in Schedule 2.4 (Security Management).

7.5.2 The Supplier shall implement security testing to meet the requirements of Paragraph 8 of Schedule 2.4 (Security Management). The Supplier shall provide monthly reports on the security testing described in paragraph 8.1.2 of Schedule 2.4 (Security Management).

7.5.3 The Supplier shall implement a patching regime to meet the requirements of Paragraph 9 of Schedule 2.4 (Security Management). The Supplier must provide monthly reports providing that patching and anti-virus definitions are up-to-date.

7.5.4 The Supplier shall scope the NI Regional Planning System Services into their next ISO 27001 audit which must complete no later than 13 months following the initial go-live.

7.5.5 The Authority intends to use the NCSC web check service. The Supplier shall review and action the results of the NCSC web check service.

7.6 Mapping & Addresses

7.6.1 The Supplier shall be responsible for updating the maps within the NI Regional Planning IT System on a quarterly basis, unless the mapping is consumed through a web service in which case it must always be up to date.

7.6.2 The Supplier shall be responsible for the import of all constraint layers provided by the Authority.

7.6.3 The Supplier for maintaining an up to date address gazetteer within the NI Regional Planning IT System on a monthly basis, unless the mapping is consumed through a web service in which case it must always be up to date.

7.7 Continuous Improvement

7.7.1 The Supplier shall operate a continuous service improvement programme to proactively and continually identify, communicate and action opportunities to improve the NI Regional Planning IT System and associated services.

8 Potential Services

8.1 Introduction

8.1.1 The Authority recognises that over the Term there are a range of drivers, such as planning legislation and planning policy, which may change and impact the NI Regional Planning IT System.

8.1.2 The Supplier shall provide support and resources on an optional basis where requested by the Authority to support it in relation to the Services. Potential Services are envisaged within the following categories:

- Data Cleansing;
- Services Catalogue; and
- Service Development.

8.2 Data Cleansing

8.2.1 The Supplier shall provide data cleansing services for data being migrated from NIPP to the NI Regional IT System or for data within the NI Regional IT System (e.g. at some point post implementation).

8.2.2 The Supplier shall produce a detailed proposal for the delivery of data cleansing work and present it to the Authority for consideration using the mechanisms within Schedule 8.2 (Change Control Procedure).

8.3 Service Catalogue

8.3.1 The Supplier shall provide a call-off facility for any additional software or hardware that the Authority may require during the Term of the Contract to support delivery of the Services and include these in the Service Catalogue.

8.3.2 The Supplier and the Authority shall agree the mechanism and governance for adding and removing items from the Service Catalogue.

8.4 Service Development

8.4.1 The Supplier shall support the Authority in identifying and implementing opportunities to continuously enhance the Services by advising and reporting on, opportunities to enhance existing Services, address new requirements, identify opportunities for new services and provide further efficiencies; this may include, for example, exploring and proving efficiencies that could be delivered by Robotic Process Automation and Artificial Intelligence. Opportunities identified will be submitted and considered at the appropriate governance forums as defined in Schedule 8.1 (Governance).

8.4.2 The Supplier shall support any reasonable activities as requested by the Authority to support the design, development, configuration, testing and transition to new solutions by Third Parties where the Third Party system interfaces with the NI Regional Planning IT System.

8.4.3 The Supplier shall propose opportunities to the Authority including, but not limited to:

- Innovative technologies to improve Services and/or efficiency; and/or

- Implementing effective business change to maximise benefits of existing and new systems.

8.4.4 The Supplier shall provide the Authority with indicative costs and indicative timescales for the delivery of opportunities identified, these will be used to aid the consideration process. The ultimate decision making and selection process will be made by the Authority.

8.4.5 The Supplier shall produce a detailed proposal for the delivery of any significant Service Development work and present it to the Authority for consideration using the mechanisms within Schedule 8.2 (Change Control Procedure).

8.4.6 The Supplier must provide suitable training and maintain documentation as part of any service development activity.

Construction & Procurement Delivery
Seachadadh Foirgniochta agus Soláthair

Department of Finance
An Roinn Airgeadais
www.finance-ni.gov.uk

SELECTION QUESTIONNAIRE – GUIDANCE AND EVALUATION METHODOLOGY

The Selection Questionnaire (SQ) below is provided for ease of reference to explain and illustrate to Economic Operators how SQ Responses will be assessed. Economic Operators must submit their SQ Response by answering the questions in the SQ available online in full **only within** the Eligibility Envelope for this Call for Tender on eTendersNI.

All references below relate to the corresponding sections on the eTendersNI portal.

Section 1: Potential supplier Information

All Economic Operators, or in the case of a consortium the lead Economic Operator, must complete the questions in Section 1.

Responses to Section 1 are provided for information only and do not form part of the scored evaluation of SQ Responses. However, Economic Operators must provide a full response to each question (unless not applicable, in which case Economic Operators must enter "N/A").

Do not leave the answer to any question blank.

Section 1	**Potential supplier information**	
Question number	**Question**	**Response**
1.1(a)	Please enter the full name of the Economic Operator submitting the information	
1.1(b) – (i)	Please enter the Economic Operator's registered office address (if applicable)	
1.1(b) – (ii)	Please enter the Economic Operator's registered website address (if applicable)	
1.1(c)	Please state the Economic Operator's trading status: a) public limited company b) limited company c) limited liability partnership d) other partnership e) sole trader f) third sector g) other (please specify)	
1.1(d)	Please enter date of registration in country of origin	
1.1(e)	Please enter company registration number (if applicable)	
1.1(f)	Please enter charity registration number (if applicable)	

1.1(g)	Please enter head office DUNS number (if applicable)	
1.1(h)	Please enter registered VAT number	
1.1(i) - (i)	If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	Yes ☐ No ☐ N/A ☐
1.1(i) - (ii)	If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s).	
1.1(j) - (i)	Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?	Yes ☐ No ☐
1.1(j) - (ii)	If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this.	
1.1(k)	Please enter the trading name(s) that will be used if successful in this procurement process	
1.1(l)	Please indicate which of the following classifications your organisation falls within: a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop c) Public service mutual	
1.1(m)	Are you a Small, Medium or Micro Enterprise (SME)[1]?	Yes ☐ No ☐
1.1(n)	Please enter the details of Persons of Significant Control (PSC), where appropriate: [2] - Name; - Date of birth; - Nationality; - Country, state or part of the UK where the PSC usually lives; - Service address; - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used); - Which conditions for being a PSC are met: - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more.	

[1] See EU definition of SME https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en

[2] UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. See PSC guidance.

	(Please enter N/A if not applicable)	
1.1(o)	Details of immediate parent company: - Full name of the immediate parent company - Registered office address (if applicable) - Registration number (if applicable) - Head office DUNS number (if applicable) - Head office VAT number (if applicable) (Please enter N/A if not applicable)	
1.1(p)	Details of ultimate parent company: - Full name of the ultimate parent company - Registered office address (if applicable) - Registration number (if applicable) - Head office DUNS number (if applicable) - Head office VAT number (if applicable) (Please enter N/A if not applicable)	

Section 1	**Bidding model**	
Question number	**Question**	**Response**
1.2(a) - (i)	To be completed by the lead Economic Operator: Are you bidding as the lead contact for a group of Economic Operators?	Yes ☐ No ☐ If yes, please complete the details requested in the remainder of this question 1.2 and then complete the remainder of the SQ (as applicable). If no, please complete questions 1.2(b) – (i) through to 1.2(b) – (iii) and then complete the remainder of the SQ (as applicable).
If you are bidding as the lead Economic Operator for a group of Economic Operators please provide the following details:		
1.2(a) - (ii)	Name of group of Economic Operators (if applicable)	
1.2(a) - (iii)	Proposed legal structure if the group of Economic Operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure.	
1.2(b) - (i)	Are you or, if applicable, the group of Economic Operators proposing to use sub-contractors?	Yes ☐ No ☐

1.2(b) - (ii)	If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor in the following table. The Contracting Authority may also request the sub-contractor to provide this information.	

Name				
Registered address				
Trading status				
Company registration number				
Head Office DUNS number (if applicable)				
Registered VAT number				
Type of organisation				
SME (Yes/No)				
The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables				
The approximate % of contractual obligations assigned to each sub-contractor				

1.2(b) – (iii)	Are you relying on other third party entities (i.e. parent companies, affiliates, associates or essential sub-contractors) to meet the selection criteria?	Yes ☐ No ☐
1.2(b) – (iii) (Cont)	If you answered 'Yes' to the above question each third party entity must complete and attach the relevant section(s) of the SQ as indicated below.	

Contact details and declaration
By submitting an SQ Response:

I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate. I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document. I understand that the information will be used in the selection process to assess my organisation's suitability to be invited to participate further in this procurement process. I understand that the Contracting Authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section. I am aware of the consequences of serious misrepresentation.	
Completed by:	
Contact name	
Name of organisation	
Role in organisation	
Phone number	
E-mail address	
Postal address	
Signature (electronic is acceptable)	
Date	

Section 2: Grounds for mandatory exclusion

All Economic Operators, consortium members and any third party entities being relied on by the Economic Operator (or its consortium members), e.g. sub-contractors, must (unless an European Single Procurement Document (ESPD) has separately been uploaded for that entity) complete the questions in Section 2.

Any Economic Operator, consortium member or third party entity being relied that answers "yes" to any part of Section 2 must provide sufficient information in relation to the circumstances and evidence of any remedial action taken in order to demonstrate self-cleaning, in accordance with Regulation 57(5) and (13) - (17) of the Regulations. If the Contracting Authority considers the information provided is sufficient, the Economic Operator will be permitted to continue in the procurement process.

An SQ Response will be marked as a "fail" and excluded from the procurement process where an Economic Operator, consortium member or third party entity being relied on responds "yes" to any part of Section 2 and fails to provide a sufficient explanation (in Section 2.2 or 2.3(b)) to the Contracting Authority's satisfaction in accordance with the self-cleaning measures outlined in Regulation 57(5) and (13) - (17) of the Regulations.

Section 2	**Grounds for mandatory exclusion**	
Question number	**Question**	**Response**
2.1(a)	The detailed grounds for mandatory exclusion of an Economic Operator are set out in Regulation 57(1) and 57(2) of the Regulations. Please indicate if your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences contained within Regulation 57(1):	
2.1(a)(i)	Participation in a criminal organisation	Yes ☐ No ☐ If yes, please provide details at 2.1(b)
2.1(a)(ii)	Corruption	Yes ☐ No ☐ If yes, please provide details at 2.1(b)
2.1(a)(iii)	Fraud	Yes ☐ No ☐ If yes, please provide details at 2.1(b)
2.1(a)(iv)	Terrorist offences or offences linked to terrorist activities	Yes ☐ No ☐ If yes, please provide details at 2.1(b)
2.1(a)(v)	Money laundering or terrorist financing	Yes ☐ No ☐ If yes, please provide details at 2.1(b)

2.1(a)(vi)	Child labour and other forms of trafficking in human beings	Yes ☐ No ☐ If yes, please provide details at 2.1(b)
2.1(b)	If you have answered yes to question 2.1(a), please provide the following details: - Date of conviction - Specify which of the grounds listed the conviction was for, and the reasons for conviction - Identity of who has been convicted If the relevant documentation is available electronically, please provide the web address, issuing authority, precise reference of the documents.	
2.2	If you have answered "yes" to any of the points above, explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion (i.e. self-cleaning)?	
2.3(a)	**Regulation 57(3)** Has it been established, for your organisation, by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?	Yes ☐ No ☐
2.3(b)	If you have answered "yes" to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.	

Section 3: Grounds for discretionary exclusion

All Economic Operators, consortium members and any third party entities being relied on by the Economic Operator (or its consortium members) e.g. sub-contractors, must (unless an European Single Procurement Document (ESPD) has separately been uploaded for that entity) complete the questions in Section 3.

Any Economic Operator, consortium member or third party entity being relied that answers "yes" to any part of Section 3 must provide sufficient information in relation to the circumstances and evidence of any remedial action taken in order to demonstrate self-cleaning, in accordance with Regulation 57(13) – (17) of the Regulations. If the Contracting Authority considers the information provided is sufficient, the Economic Operator will be permitted to continue in the procurement process.

An SQ Response will be marked as a "fail" and excluded from the procurement process where an Economic Operator, consortium member or third party entity being relied on responds "yes" to any part of Section 3.1 and fails to provide a sufficient explanation (in Section 3.2) to the Contracting Authority's satisfaction in accordance with the self-cleaning measures outlined in Regulation 57(13) - (17) of the Regulations.

Section 3	**Grounds for discretionary exclusion**	
	Question	**Response**
3.1	**Regulation 57 (8)** The detailed grounds for discretionary exclusion of an Economic Operator are set out in Regulation 57(8) of the Regulations. Please indicate if your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences contained within Regulation 57(8) for:	
3.1(a)	Breach of environmental obligations	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1 (b)	Breach of social obligations	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1 (c)	Breach of labour law obligations	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(d)	Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar	Yes ☐ No ☐ If yes, please provide details at 3.2

	procedure under the laws and regulations of any State	
3.1(e)	Guilty of grave professional misconduct	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(f)	Entered into agreements with other Economic Operators aimed at distorting competition	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(g)	Aware of any conflict of interest within the meaning of Regulation 24 of the Public Contracts Regulations 2015 due to the participation in the procurement procedure	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(h)	Been involved in the preparation of the procurement procedure	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(i)	Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(j)	Please answer the following statements:	
3.1(j) - (i)	The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(j) - (ii)	The organisation has withheld such information.	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(j) –(iii)	The organisation is not able to submit supporting documents required under Regulation 59 of the Public Contracts Regulations 2015.	Yes ☐ No ☐ If yes, please provide details at 3.2
3.1(j)-(iv)	The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.	Yes ☐ No ☐ If yes, please provide details at 3.2

3.2	If you have answered yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion (i.e. self-cleaning)?	

Section 4: Economic and Financial Standing

All of the following must each complete the questions in Section 4:

- Economic Operators
- Consortium members
- Third party entities being relied on by the Economic Operator to satisfy the economic and financial standing requirements in the SQ (where relevant)
- Sub-contractors being relied on to deliver more than 40% of the Contract (where relevant)

Please note that an Economic Operator who has provided their Dun and Bradstreet number in response to Question 1.1(g) is not required to complete this question.

An SQ Response will be marked as a "fail" and excluded from the procurement process where the Economic Operator, Consortium members (where relevant), Third Party entities (where relevant) or Subcontractors(delivering more than 40% of the contract) achieves a Dun and Bradstreet score of less than 2A (Financial Strength) and 3 (Risk Indicator). https://www.dnb.co.uk/about-us/our-analytics/predictors-scores-ratings/scores-ratings.html

Section 4	**Economic and Financial Standing**	
	Question	**Response**
4.1	Please provide your company's Dun and Bradstreet score:	

Section 5: Technical and Professional Ability

Economic Operators (where appropriate, as lead Economic Operator on behalf of all consortium members and third parties being relied upon) must complete the questions in Section 5.

Please Note: For each example provided in response to the Selection Criteria the Economic Operator must submit contact details, including phone number and e-mail address, of a named customer contact who would be prepared to provide written evidence to confirm the accuracy of the example provided should the Authority wish to contact them to do so.

Ref	Description	Weighting	Score
Q1.	**Previous experience of successfully implementing a solution of comparable scale and complexity.** Please provide one example within the last five years that demonstrates your experience of successfully implementing a solution of comparable scale and complexity to the proposed NI Regional Planning IT System in terms of, online public services, integrated back office, multiple user roles, data migration and integration with third party systems. Your response must include:	30	0 - 5

	• Description of Contract and Client, including the Start and End dates (If project still ongoing, this should be stated in the response) and Go live date (which must be within the last 5 years) of the submitted example and a high-level overview of the project objectives, deliverables, user numbers, data migration volumes and number of integrations; • A description of the structured approach taken to design, configure, develop and test the solution to meet the client's requirements; • A description of the measures taken to migrate successfully the data including the associated timescales for any phases. Specifically detail the volumes of data and data sources and detail whether any data loss events occurred; • A description of the implementation process (and associated timescales) including the measures to ensure the effective transition from the incumbent system; • A description of the approach taken to ensure that the system effectively integrated with all related internal and external systems, including good practice followed and testing undertaken to ensure that the integrations operated effectively; • The key success factors specific to the implementation of the solution; and • Contact details, including phone number and e-mail address, of a named customer contact for this example who would be prepared to provide written evidence to confirm the accuracy of the example provided. **Tenderers must provide a detailed response demonstrating how they meet the above criteria. Your response should be no more than 6 sides at Arial size 12 font. Images will not count towards page count unless they contain excessive wording.**		
Q2.	**Previous experience of successfully Implementing a Planning IT solution.**	30	0 - 5

	Please provide one example within the last five years of your experience of successfully implementing a planning IT solution which: • Supports the effective processing of an application across the application lifecycle including Pre-Application, Application, Application Processing, Post Decision, Enforcements and Appeals; • Provides effective Mapping / Plotting functionality; and • Provides effective Workflow, Dashboard and Reporting functionality. Your response must include: • Description of Contract and Client, including the Start and End dates (If project still ongoing, this should be stated in the response) and Go live date (which must be within the last 5 years) of the submitted example and a high-level overview of the project objectives; • An overview of the technical implementation including the technical architecture, software components and government or third party services consumed e.g. payment services, notification services, authentication services; • A description of how the solution's functionality supported the organisation in delivery of end to end processing of Planning Applications, Enforcements and Appeals including mapping/plotting, workflow, dashboard and reporting; • The key success factors specific to the implementation of the planning IT solution; and • Contact details, including phone number and e-mail address, of a named customer contact for this example who would be prepared to provide written evidence to confirm the accuracy of the example provided. **Tenderers must provide a detailed response demonstrating how they meet the above criteria.** **Your response should be no more than 6 sides at Arial size 12 font. Images will not count towards page count unless they contain excessive wording.**		
Q3	**Previous experience of successfully delivering a fully managed service for a comparable solution.**	40	

	Please provide one example within the last five years (for a minimum period of 12 months) that demonstrates your experience of successfully delivering a fully managed service for a solution of comparable scale and complexity to the proposed NI Regional Planning IT System. Your response must include: • Description of Contract and Client, including the Start and End dates of the fully managed service (for a minimum period of 12 months within the last 5 years. If project is still ongoing, this should be stated in the response) and a high-level overview of the project objectives, deliverables and user numbers. • Your role and responsibilities within the support model in ensuring delivery of a proactive and responsive service to the client and the metrics & KPIs you achieved which demonstrate that the support service delivered met the client's SLAs; • The approach to providing a secure hosting environment for the client; • The approach you took to release and deployment management; • The approach you took to ensure the solution remained up-to-date and not vulnerable to malicious attacks or viruses; • The approach you took to ensure the solution was developed to meet the changing technical or operational environment; • The approach to developing a partnership working relationship between client and customer; and • Contact details, including phone number and e-mail address, of a named customer contact for this example who would be prepared to provide written evidence to confirm the accuracy of the example provided. **Tenderers must provide a detailed response demonstrating how they meet the above criteria.**		

	Your response should be no more than 6 sides at Arial size 12 font. Images will not count towards page count unless they contain excessive wording.		

Score	Descriptor
0	Failed to address the criterion.
1	Poor proposal to address the criterion.
2	Limited proposal to address criterion.
3	Acceptable proposal to address the criterion.
4	Good proposal to address the criterion.
5	Excellent proposal to address the criterion.

Threshold Score

Economic Operators should note that there is a minimum threshold score of 3 for each question in Section 5. Any Economic Operator which achieves a score of 2 or less for any question will be rejected from the procurement process.

In instances where tenderers achieve the same overall score and there is a tie break situation, it will be broken by the tenderer which received the highest marks for the following questions, to be taken in order of priority, until the tie is broken:

Order of Priority	***Technical Question***
1	***Q3***
2	***Q1***
3	***Q2***

If when applying the tie breaker, a clear result is identified (i.e. the tie breaker score differentiates the tenderers who have the same score for the initial evaluation of bids), the process will be terminated at that step.

Section 6: Modern Slavery Act 2015

Economic Operators must complete the questions in Section 6 (where appropriate, as lead Economic Operator on behalf of all consortium members and third parties being relied upon).

An SQ Response will be marked as a "fail" and excluded from the procurement process where the Economic Operator responds "no" to Question 6.2 and fails to provide a sufficient explanation to the Contracting Authority's satisfaction as to why the annual reporting requirements have not been complied with by the relevant entity.

Section 6	Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015	
6.1	Are you a relevant commercial organisation as defined by section 54 of the Modern Slavery Act 2015 (the Act)?	Yes ☐ N/A ☐
6.2	If you have answered yes to question 6.1, are you compliant with the annual reporting requirements contained within Section 54 of the Act?	Yes ☐ No ☐ Not applicable ☐
6.2 (cont)	If you have answered yes to question 6.2 please provide the relevant URL to view the statement.	
6.2 (cont)	If you have answered No to question 6.2 please provide an explanation.	

Section 7: Additional Questions

Economic Operators must complete the questions in Section 7 (where appropriate, as lead Economic Operator on behalf of all consortium members and third parties being relied upon).

Section 7.1: Insurance

An SQ Response will be marked as a "fail" and excluded from the procurement process where the Economic Operator responds "no" to Question 7.1.

7.1	Insurance	Response
a.	Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below: Employer's (Compulsory) Liability Insurance = GBP £10m each and every claim. Public Liability Insurance = GBP £1m each and every claim. Professional Indemnity Insurance = GBP £1.5m each and every claim up to a maximum of £10m *It is a legal requirement that all companies hold Employer's	Yes ☐ No ☐

	(Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders.	

Section 7.2: Fair Employment and Treatment

Article 64 of the Fair Employment and Treatment (Northern Ireland) Order 1998 (Order) provides, inter alia, that a public authority (such as the Contracting Authority) shall not accept an offer to execute any work or supply any goods or services where the offer is made by an unqualified person in response to an invitation by the public authority to submit offers. Article 64(4) also provides that the public authority shall take all such steps as are reasonable to secure that no work is executed or supplies or services supplied for the purposes of such contracts as are mentioned above by an unqualified person. For the purposes of Articles 64-66 of the Order, an unqualified person is a person on whom a notice has been served under Article 62(2) or Article 63(1) of the Order and which has not been cancelled. Mindful of its obligations under the Order, the Contracting Authority has decided that it shall be a condition of tendering that an Economic Operator shall not be an unqualified person for the purpose of Articles 64-66 of the Order.

An SQ Response will be marked as a "fail" and excluded from the procurement process where the Economic Operator responds "no" to Question 7.2.

7.2	**Fair Employment and Treatment (Northern Ireland) Order 1998**	**Response**
	By submitting a response to this opportunity I confirm that the Economic Operator, all consortium members and/or any third party entity being relied on are not considered as unqualified for the purpose of Articles 64-66 of the Fair Employment and Treatment (Northern Ireland) Order 1998. I further undertake that no work shall be executed or supplies or services supplied by any unqualified person for the purposes of any contract with the Contracting Authority to which Article 64 of the Order applies.	
	I confirm that I have read and agree to the statements above	Yes ☐ No ☐

Section 7.3: Conflict of Interest

The Contracting Authority is required to effectively prevent, identify and remedy perceived or actual conflicts of interest arising in the conduct of procurement processes, so as to avoid any distortion of competition and to ensure equal treatment of all Economic Operators.

Economic Operators are therefore required to review carefully their prior or current involvement, and that of any consortium members or third party entities relied on, with the Contracting Authority and any of the participating bodies to this Contract, in relation to the personnel or type of work involved in the Contract.

An SQ Response will be marked as a "fail" and excluded from the procurement process where the Economic Operator responds "Actual/Perceived Conflict" to Question 7.3 and fails to demonstrate, to the satisfaction of the Contracting Authority, that the actual/perceived conflict of interest will not distort competition or result in a breach of equal treatment of all Economic Operators.

7.3	Conflict of Interest	
	I warrant that the actual or perceived level of conflict of interest in relation to the personnel or type of work involved in this contract is:	No Conflict ☐ Actual/Perceived Conflict ☐
	If an actual or a perceived conflict of interest exists, please provide details including what the conflict may be and who it relates to.	

Section 7.4: Certificate of Unsatisfactory Performance

An SQ Response may be marked as a "fail" and excluded from the procurement process where the Economic Operator responds "yes" to Question 7.4.

7.4	Certificate of Unsatisfactory Performance	Response
	Have you, any member of your consortium or third party entity being relied upon been issued with a Certificate of Unsatisfactory Performance by a Contracting Authority or Central Purchasing Body?	Yes ☐ No ☐
	If yes, please provide the following details: name of Contracting Authority or Central Purchasing Body that issued the certificate; the date the certificate was issued; and the name of the contract the certificate was issued in relation to.	

EVALUATION METHODOLOGY - (Above EU Threshold) - V4

Project Details	
Project Title:	NI Councils and DfI Regional Planning IT System
Resource ID:	1903099
SSD Representative:	Eddy Dickson
Client Representative:	Peter Rice

Selection Criteria/Award Criteria and Weightings

This contract will be awarded on the basis of Most Economically Advantageous Tender.

Please complete the table below as follows:
1. Insert the agreed breakdown (out of 100) between Qualitative and Quantitative envelopes into the RED boxes. The table will then convert this into the maximum score available for each envelope.
2. Then for each envelope, insert the percentage weight (out of 100) into the YELLOW boxes that you would like to allocate each criteria (whole numbers only). This will be converted into the maximum score available for each criteria. (an example has been provided within the table).
3. If new lines are required within either envelope please ensure that you copy the formula into the new line.

Qualitative Criteria			Envelope Weight
			60
		Criteria Percentage weight	**Max Criteria Score**
AC1	Online	7	4.2
AC2	Managing Work	4	2.4
AC3	Processing	7	4.2
AC4	Consultation	4	2.4

AC5	Mapping & Spatial Intersection Search	6	3.6
AC6	Productivity	6	3.6
AC7	Monitoring & Changes	4	2.4
AC8	Property Certificates	4	2.4
AC9	Search	4	2.4
AC10	Reporting & Business Intelligence	6	3.6
AC11	System Administration & Monitoring	6	3.6
AC12	Audit, Data, Retention & Deletion	4	2.4
AC13	Project Management & Implementation Plan	8	4.8
AC14	System Design, Configuration & Development, Interfaces & Testing	14	8.4
AC15	Data Migration	11	6.6
AC16	Transition	5	3
Quantitative Criteria			**Envelope Weight**
			40
		Criteria Percentage weight	**Max Criteria Score**
AC17	Total Contract Price/Cost	100	40

The proposed selection and award criteria and weightings have been developed to relfect the scale and complexity of the new Planning IT System including the technical challenges of integrating with multiple stakeholders and a dispersed client acrosss NI.

The project will be evaluated in accordance with the current CPD Guidance PGN 04/16 .

Pricing Strategy

The following pricing strategy shall be used;
Whole Life Cost
NOTE: Payments shall be made in line with Managing Public Money NI.

End User Testing/Product Verification

A verification of elements of the proposed solution will take place as part of the initial Tender Evaluation Stage

EVALUATION PANEL

	Name	Telephone Number	Email Address
1	Peter Rice	40500	peter.rice@infrastructure-ni.gov.uk
2	David Bready	+44 7795 450225	dbready@deloitte.co.uk
3	Ed Baker	02890 502066	BakerE@BelfastCity.gov.uk
4	Cathy McKeary	028 70347135	Cathy.McKeary@causewaycoastandglens.gov.uk
5	Fiona McGrady	(028) 9054 0606	Fiona.McGrady@infrastructure-ni.gov.uk
6	Colin White	0300 013 3333 ext 40637	Colin.White@ardsandnorthdown.gov.uk
7	Kenny Nevin	40236	Kenny.Nevin@infrastructure-ni.gov.uk
8	Kathryn Bradley	028 9034 0402	kathryn.bradley@antrimandnewtownabbey.gov.uk
9	Sinead Fitzell		FitzellS@BelfastCity.gov.uk

SSD must be informed if any changes are made to the above Evaluation Panel.

Please note: From 1 April 2013 it is mandatory for all Panel Members involved in the evaluation of all competitions above the EU Threshold to complete the Training for Evaluation Panel Members through the Centre for Applied Learning.

CLIENT APPROVAL
This Evaluation Strategy must be approved by the Client by e-mail.