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**Report of: The Director of Children's Services and Director of Adult Social Care**

**Executive Board**

**Date: 5<sup>th</sup> January 2011**

**Subject: Social Care Systems Review**

**Electoral Wards Affected:**

Ward Members consulted  
(referred to in report)

**Specific Implications For:**

Equality and Diversity

Community Cohesion

Narrowing the Gap

Eligible for Call In

Not Eligible for Call In

(Details contained in the report)

## EXECUTIVE SUMMARY

- 1.0 One of the key priorities for the Council is to provide excellent Adult and Children's Social Care Services to meet the needs of vulnerable adults and young people in Leeds. To ensure that we have the best processes and systems to support skilled workers operating best practice, an independent review of the existing Electronic Social Care Record (ESCR) system was undertaken.
- 2.0 Following on from the review a paper was presented to Executive Board in June 2010 outlining the need for a staged approach. The first stage was to address critical issues with the existing ESCR system to meet immediate service improvement requirements. Developments were also required to the existing system to support improvements to be made to performance of the services to enable a major system change to be implemented without major disruptions to service provision.
- 3.0 Since June there have been some significant changes in the way social care will be provided both nationally and locally, which has required an urgent review in the approach to delivering replacement social care systems across Adults and Children's Services. The most fundamental change has occurred with the change in Government and the push to more integrated health and social care services which affects the provision of Adult Social Care in particular.

- 4.0 There is a need to provide modern fit for purpose systems for both services. However Children's Services and Adult Social Care are in different positions, both in their current readiness to progress in procuring new systems and also whether their respective future requirements will be the same for both services. There is an urgent need for a third party system in Children's Services to support the significant practice improvements that need to take place. The requirements in Adult Social Care are currently less clear and time is needed to assess clearly what those needs will be in the future. This clarity may not be established for some time yet and as such Children's Services must move forward urgently with the procurement of a system that meets their needs.
- 5.0 This paper and the associated business case recommends progressing with the procurement and implementation of a replacement social care information system for Children's Services only at this stage. A subsequent business case and report will be brought back to the Executive Board detailing recommendations for the replacement of the Adult Social Care information system. This will be completed following considerations of existing and the forthcoming white papers in 2011 as well as investigations of potential options with health to develop an integrated health and social care operating model.
- 6.0 There is a risk that the outcome of such an approach could be separate systems, which potentially increases costs both in the implementation and ongoing support depending on solutions implemented. This increase in potential cost as well as the operational impact and risks of all options to resolve the differing positions of each directorate have been considered by the Directors of Adult Social Care and Children's Services and the Director of Resources. It is felt that the risk to the Council is greater in delaying the Children's Service's implementation or rushing into procuring the wrong solution for Adult Social Care.
- 7.0 The financial details contained in Appendix 1 of this report are considered confidential and exempt, under Access to Information Procedure Rule 10.4 (3), as it contains information relating to the estimated funding the Council would have to provision. It is felt that if this is disclosed, specifically to prospective software suppliers, this would, or would be likely to, prejudice the commercial interest of the Council in any future competitive procurement.

## **Recommendations**

- 7.0 It is recommended that:

Approval be given to incur expenditure as detailed in Appendix 1 to procure and implement social care solutions for Children's Services.

Approval to defer the decision to procure new solutions for Adult Social Care until spring/summer 2011, taking into consideration the potential costs, outlined in section 4.0 that will be required to be provided within the Council's capital programme in order to deliver this.

## **1.0 Purpose Of This Report**

- 1.1 This report seeks approval for the recommendation to progress with the procurement and implementation of Children's Social Care information systems and associated business changes. It seeks approval to incur expenditure as detailed in the confidential appendix 1.
- 1.2 This report summarises the main themes set out in a more detailed Electronic Social Care Record (ESCR) business case. The business case can be made available to members on request, but it should be noted that the financial details within the business case are confidential, for the same reason as appendix 1 to this report (see paragraph 2.6 below).
- 1.3 Approval is also sought to defer the decision to procure systems for Adults Social Care until the white papers are published and requirements are fully clarified. Costs have been included to carry out this work.

## **2.0 Background**

- 2.1 In September 2009 the Joint Social Care Services Board, informed by the outcomes of an independent review which concluded that the existing ESCR system was not fit for purpose, initiated the development of a business case for its replacement.
- 2.2 In June 2010 a report was presented to the Executive Board outlining the need to take a staged approach to the implementation of any new systems. The rationale behind this was the need to ensure immediate service improvements could be addressed, business and cultural changes could be initiated and most importantly the performance of service could improve before such a major change was implemented.
- 2.3 Approval was therefore given to invest in the development of the existing ESCR system to address immediate service issues and prepare the staff, system and data to migrate to a replacement system.
- 2.4 Considerable improvements have been made to the existing system to enable staff to work more effectively in addition to improvements to the information and data held on the system. These improvements will continue to be made to the system, business processes, how staff use the system and the quality of data in preparation for the migration to a new system to ensure as smooth a transition as possible.
- 2.5 The June report also indicated that a subsequent report would be brought back to the Executive Board in October/November 2010 detailing proposals for the next phase. Since June, however, there have been some significant changes in the way social care will be provided both nationally and locally, which has required an urgent review in the approach to delivering replacement social care systems across Adults and Children's Services.
- 2.6 The financial details contained in Appendix 1 of this report are considered confidential and exempt, under Access to Information Procedure Rule 10.4 (3), as it contains information relating to the estimated funding the Council would have to provision. It is felt that if this is disclosed, specifically to prospective software suppliers, this would, or would be likely to, prejudice the commercial interest of the Council in any future competitive procurement.

## **3.0 Main Issues**

### **3.1 The Need for Change – Children's Services**

- 3.1.1 As has been reported separately to Executive Board on a number of occasions, the context in which children's services operates in recent years has shifted significantly. This has particularly been the case for Children and Young People's Social Care, where the national profile of social work and the inspection process around this has brought about greater

scrutiny of frontline practice. Both this scrutiny, and the desire behind it to see better practice in place when supporting particularly vulnerable children and families, has necessitated more rigour, quality and usability in the systems that professionals working in the field utilise.

3.1.2 Against this background and under the guidance of the city's new Director of Children's Services, it is felt that Children's Services in Leeds requires a much improved system as a matter of urgency compared to that which is currently in place. Whilst improvements to the existing system have been made, in order to consistently support professionals to deliver the standard of practice we aspire to we believe that we need to progress with the replacement of the existing system as soon as possible. The current ESCR system does not meet the requirements of Children's Services sufficiently to best enable professionals to meet their duties around safeguarding children and young people. This reflects the fact that the current system was developed in house from a sales/case management system and, given the significant changes in children's social care practice, now falls a long way short of current service requirements. These shortfalls relate both to national practice standard requirements and to the requirements of an intuitive easy to use modern recording system.

3.1.3 Specific reasons and motivations behind the recommendation that we need to replace the system as soon as possible include:

- (i) Any delay to the implementation of an effective information and recording system in Children's Services compromises the ability to safeguard children, as dual recording systems (paper and ESCR) remain in use which in turn reduces consistency and risks information falling between the two records.
- (ii) The system was subject to criticism in the 2009 Ofsted inspections and some of those weaknesses cannot be fully addressed using the current system.
- (iii) Following on from this, Leeds City Council is currently subject to an Improvement Notice and monitored by an independently chaired improvement board. Despite significant improvements being made to the existing system (see appendix 3), there still continues to be difficulties in meeting the requirements which will support and effectively record the practice improvements taking place.

3.1.4 In recent years there have been significant changes in the technology available and a number of third party suppliers provide purpose built social care systems to the vast majority of local authorities in the UK. Leeds would therefore be in a position of being supplied with a system which meets national standards, and has been developed in line with a large number of other local authority's requirements which is much easier for social work staff use.

3.1.5 There is an urgent need for a third party system in Children's Services to make practice safe and support the significant practice improvement taking place.

## 3.2 The Need for Further Review – Adults Services

3.2.1 The situation regarding the electronic system for Adult Services is different to that in Children's. Whilst the wider context and current service challenges in children's services have made it increasingly apparent that a new system, introduced as soon as possible is the best option to support long-term service improvement, in Adult Services more reflection is needed to take stock of important recent developments.

3.2.2 In particular, time is needed to assess the impact of the changes occurring following the change in Government and the push to more integrated health and social care services which affects the provision of Adult Social Care in particular. A number of white papers – Liberating the NHS, Vision for Health and Social Care, in addition to further white papers

planned for spring summer 2011 – indicate a significantly different model for the provision of Health and Social Care services for adults in the city.

3.2.3 As such, whilst the council's preferred option previously has been to source a joint social care system for Adults and Children, both for financial and operation reasons (e.g. to assist in the provision of a single view of the family and transition of children to adults), because of the significant changes happening in the way social care will be provided for adults there is uncertainty currently as to what this may look like nationally and locally in the future. In addition there is also a need to consider the broader scope of technical components and integration with partners required to meet future needs and each organisation's responsibilities. It has therefore been concluded that Adult Social Care are not currently in a position to confidently define what the full requirements will be for any replacement systems.

### 3.3 Summary – Moving Forward

3.3.1 It is acknowledged that both services will require a replacement system at some point in the future. Children's Services and Adult Social Care are however in different positions, both in their current readiness to progress with a procurement and also whether their respective future requirements will be the same for both services (for example, with Adult's Social Care moving closer to health services and Children's Services more integrated with education services). The functionality gaps experienced in the current ESCR system do not impact the provision of services in Adult Social Care as acutely as Children's.

3.3.2 The impact, costs and risks of all options to resolve the differing positions of each directorate have been considered by the Directors of Adult Social Care, Children's Services and Resources. This report outlines and seeks approval to the recommend way forward.

### 3.4 Key Objectives of Replacing Children's Social Care Systems

3.4.1 Important decisions have to be taken everyday by front line staff and managers on the unique and often complex support requirements for children. The ability to quickly and easily gather, record and share accurate information to and from multiple sources is crucial in enabling practitioners to make fully informed decisions. The provision of integrated information systems that are intuitive and efficient to use is an essential component in providing this service. Appendix 2 summarises the benefits to be realised from implementing these changes.

3.4.2 Providing the technology is only one part of a programme of work aiming to achieve the objectives set out below. The implementation of new system must be fully integrated with the other transformational work taking place within Children's Service including improvements to best practice, reengineering of consistent and efficient business processes, reorganisations and cultural changes. A substantial part of the funding required is to ensure these business changes are delivered alongside the implementation of new technical components.

3.4.3 The following are the **key objectives** this programme aims to achieve:

#### 3.4.3.1 Safeguarding and Promoting the Welfare of Children

- Provision of intuitive and effective case management and information systems with the capability to safely support the delivery and management of Children and Young Peoples Social Care.
- Provision of effective financial management systems that provides Children's Services with the ability to perform all required financial management, planning and forecasting activity.

- Support Children's Services in safeguarding and promoting the welfare of Children in Leeds by implementing an intuitive case management system. Realise practitioner efficiency savings that increase capacity for social work staff to spend time directly working with children and their families.
- Provide a system to support Children's Services in the continued implementation of essential safeguarding service improvements. This will also enable Children's Services to respond positively against service delivery improvement activity set by the Children's Improvement Board and relevant inspection regimes.
- Support Children's Services in its endeavours to become an excellent performing service by 2015.
- Support the development of clearly defined and consistent business processes across Children and Young Peoples social care by ensuring the case management and information systems provided, now and in the future, are intuitive, efficient and user friendly.
- In parallel with supporting the development of consistent business processes, provide Children's Services with a mechanism (the case management and information system) to capture, record and promote good practice.
- In parallel with supporting the development of consistent business processes, support Children's Services in its efforts to reduce the level of processes requiring paper forms and faxes to be complete thus removing inconsistent working practices.
- Improve the quality of Children's Services information and data held within the Social Care case management system.
- Provide Children's Services with the ability to access the right information at the right time to support:
  - A collaborative approach to safeguarding children
  - Proactive performance management
- In addition to replacing the Children's Services element of the existing ESCR system the new system will also remove the need for a number of peripheral satellite systems developed or procured by the service to supplement ESCR in recent years.

#### 3.4.3.2 Strategic Objectives

- Support the remodelling of the service and its continued transformation to ensure:
  - Significant improvement outcomes for Looked After Children
  - High quality service delivery in child protection work.
- Reduce the risk to LCC and Children's Services in having to develop an internal system in response to ever changing social care national requirements by implementing a successful partnership with a leading commercial supplier.
- Implement case management and information systems that are cost effective and sustainable to current and future Social Care legislation requirements.
- Implementation of mobile working solutions to enable practitioners to have access to and update information from multiple locations.

#### 3.4.3.3 Integrated / Partnership Working Objectives

- Support Children's Services Integrated / Partnership working initiatives by providing the service with the ability to access a single view of a child. The single view will include key summary data from internal Children's Services systems only.
- Provide information systems to support flexible working within localities, clusters, area based teams and the wider integrated children's services.
- Provide integration between the Children's Services Case Management system and the system operated by Adult Social Care to enable the effective management of transitions and support the delivery of a family view.

#### 3.4.3.4 Cultural Objectives

- Ensure the new case management and information system is accepted as a valuable business support tool by overcoming the reported difficulties in operating existing LCC social care systems. This will be achieved via:
  - Building upon and adding to: current Children's Services cultural change initiatives focussing upon promoting high quality data recording and the value of information.
  - Building upon and adding to: current Children's Services initiatives to engage with frontline staff to increase IT competency throughout its workforce.

#### 3.4.3.5 Children's Services Vision & Council Business Plan Objectives

Achieving the objectives detailed above will enable the following Children's Services Vision and Council Business Plan objectives to also be achieved:

- Support the successful delivery of the following Children's Services vision outcome: **Children and young people are safe from harm**
- Support the successful delivery of the following Children's Services vision priority: **Help children to live in safe and supportive families**
- Support the successful delivery of the following Children's Services Council Business Plan requirements: **Develop and implement restructured Children's Services directorate**

### 3.5 Scope Within Children's Services

3.5.1 If approved, the project to replace the existing ESCR system within children's services will deliver the following:

- (i) Procurement and implementation of the Children's and Young People's Social Care (CYPSC) Case Management and Information System including of an integrated social care financial management system
- (ii) Implementation of Children's Services Single View functionality (focussed on keeping children safe, by bringing together appropriate summary information from a number of disparate Children's Services information systems to provide a read only multi-agency view of a child)
- (iii) Integration of the social care case management and information system with:
  - 1) ASC case management and information system
  - 2) National e-CAF system
  - 3) Corporate Customer Relationship Management (CRM) system (depending on future strategy of corporate customer relationship management)
  - 4) Corporate Financial system FMS

- 5) Integrate with the Corporate Electronic Document Record Management System (EDRMS) (dependant on potential capability of EDRM within purchased case management system)
  - 6) MS Outlook/Exchange
- (iv) Implementation of the infrastructure to enable single views and information sharing with other internal and external partners in the future
- (v) Implementation of mobile working solutions to enable:
- 1) Online access to the case management and information system utilising a laptop and 3G technology
  - 2) Online access to the case management and information system utilising a Leeds City Council Virtual Private Network (VPN) connection and vasco token authentication.
  - 3) Offline access to forms to allow a user to enter data into a form. Upon the user gaining online access to the Case Management and information system the data entered by the user offline requires to automatically populate into the system.
  - 4) Children's Services practitioners provided with the ability to access key case information via their PDA / mobile device.
  - 5) Children's Services practitioners provided with the ability to view appointments / schedule of their planned activity via their PDA / mobile device.
- (vi) Implementation of associated organisational and business process changes required to maximise the benefits of new systems
- (vii) Support and promote necessary cultural changes to ensure delivered systems and changes to business processes are fully embedded.

### 3.6 Estimated Timescales

3.6.1 The timescales outlined below are high level estimates based on experience, case studies and advice from independent consultants, of system implementations in Leeds and other authorities.

#### Phase 1 - February 2011 to October 2012

- Procurement
- Implementation of : Social Care Case Mgt System and Integrated Social Care Financials
- Integration (Stage 1) with:
  - FMS Leeds
  - eCAF
  - Siebel CRM
  - MS Outlook/Exchange and SharePoint
- Data Migration
- Mobile Working Solutions – 1-3
- Integration with Corporate EDRMS (Dependant of funding for EDRMS implementation)

#### Phase 2 – September 2012 to July 2013

- Single View - Stage 1
  - Children's Social Care Case Mgt System
  - ESCR ASC (Family/Relationship View)
  - Education Information
  - eCAF Information
- Mobile Working Solutions – 4 & 5

### Phase 3 – August 2013 to March 2014

- Single View - Stage 2
  - Youth Services
  - Early Years
  - Youth Offending
- Integration - Stage 2 (where appropriate)
  - Existing MS Small Applications
  - Corporate Gazetteer & GIS
  - Corporate BI

### 3.7 Risks and Dependencies

- 3.7.1 The timescales outlined above are, at this stage, only to give an indication of the potential implementation dates. Each stage will be carefully planned out with the prospective supplier with a focus on delivering quality outcomes within the desired timescales.
- 3.7.2 The implementation of a replacement social care management system in Children's services whilst maintaining critical day to day services is a significant challenge. The costs outlined in the business case reflect the need to properly resource both service and technical specialists to ensure minimal disruption to services, timescales can be met, and that the system is fully fit for purpose and the changes embedded.
- 3.7.3 A significant part of the implementation will be the migration of records from the existing system. This will be an immensely challenging and complex process to ensure that every record is transferred correctly.
- 3.7.4 To meet objectives in relation to a full electronic record an Electronic Document Management & Records Management System (EDRMS) will be required. Although a number of 3<sup>rd</sup> Party Social Care systems have EDRMS modules, the preferred option would be to utilise the corporate EDRMS to maximise on the benefits of this investment. The indicative costs have therefore been included in the business case for the implementation of the corporate EDRMS into Children's and Young People's Social Care if appropriate.
- 3.7.5 To ensure the investment in new technology does add real value and enable the benefits and outcomes to be delivered, it is essential that cultural and business process improvements are realised as part of the implementation. To achieve this front line practitioners must be fully involved and be part of the procurement and implementation of their system. Funding has been incorporated into the business case to facilitate this.
- 3.7.6 When developing and implementing the solutions for Children's Services all consideration will be given, where appropriate, to reusing common components for any future solution for Adult Social Care. Thereby reducing future effort and costs.

### 3.8 Adult Social Care Requirements

- 3.8.1 In parallel with the Children's procurement stage, Adults Social Care will be working closely with partners in health to fully understand future requirements for an integrated health and social care service in the city.
- 3.8.2 Options will be worked up and a business case produced outlining recommendations for the best approach and solution to meet future health and social care models. It is anticipated that the report and business case will be presented to Executive Board in spring/summer 2011.

- 3.8.3 In the interim, improvements will continue to be made to the existing system and quality of data held in it, as approved by the Executive Board in June 2010, with priorities focussed on:
- Keeping vulnerable Adults safe in Leeds
  - Provision of information to support self directed support services
  - Support early intervention and prevention initiatives e.g. Reablement .

## **4.0 Implications for Council Policy and Governance**

- 4.1 Delivering improvements in Children's Services is a key priority for the Council and the city. As identified by Ofsted inspections in 2009 and subsequently in the Children's Services Improvement Plan, a key component of this is the development of a more effective electronic case management system. This report has proposed an approach that aims to deliver the improvements required in the coming years that will ultimately underpin a more effective approach to safeguarding children and young people in Leeds.
- 4.2 At the same time it is clear that the Council will have a central role to play in the changes being proposed by the government in relation to health and adult social care. It is appropriate therefore to review our next steps in relation to this and consider the future electronic system requirements in light of this.

## **5.0 Legal and Resource Implications**

- 5.1 The estimated costs associated with the procurement and implementation of Children's social care information systems are outlined in the business case (see paragraph 1.2 above). A summary of these cost estimates is attached in the confidential appendix 1 of this paper.
- 5.2 To fund this implementation over a three year programme there is a requirement for an additional injection of capital into existing provision of £780k in year 2 and £635k in year 3.
- 5.3 Included in the capital funding requirements is a cost for existing ESCR business change resources that will be required for the implementation of the new solution. This cost is currently supported by capital grants to the authority. Because of the current economic climate there is a high probability that this funding will be effected by the reduction in capital grants the council receives leaving a £676k shortfall spread across years 2 and 3. This has therefore been included in this costing to mitigate against this risk materialising.
- 5.4 Consideration must also be made for the subsequent costs of providing solutions for Adult Social Care System. At this time estimates range from £2-5m dependant on the solution required to meet the new health and social care model. The potential options include:
- Separate social care case management system utilising as much of the children's infrastructure as possible e.g. servers, integration solutions
  - Adults to use same case management system as procured for childrens
  - Staying with ESCR system as requirements for case management functionality significantly reduced in the future health and social care model e.g. increase in self service and care navigation
  - Joint solution with Health. Either joint procurement of new or migration to existing health system

## **6.0 Conclusions**

- 6.1 The existing system has been in place since 2003 and has been supporting the provision of social care for a number of years. However with more recent increases in the pace of change required the council has struggled to keep up in providing adequate systems to support it. Most 3<sup>rd</sup> party solutions mitigate against this with regular upgrades to their products.
- 6.2 Experience over recent years and the conclusion of the independent review has confirmed that considerable effort, cost and risk is involved to the council in attempting keep the existing system fit for purpose in this environment. This therefore precludes staying on the existing system as a viable option for a future solution.
- 6.3 It is therefore recommended that both Adult Social Care and Children's Services progress in moving off the existing system in its current format as soon as possible.
- 6.4 Adult Social care need to be clear as to what the future provision of adult health and social care will look like in the future before procuring any new solutions. However there is an urgent need to provide Children's Services with a more intuitive, functionally rich and effective system without delay.

## **7.0 Recommendations**

- 7.1 It is recommended that:
- (i) Approval be given to incur expenditure as detailed in Appendix 1 to procure and implement social care solutions for Children's Services.
  - (ii) Approval to defer the decision to procure new solutions for Adult Social Care until spring/summer 2011, taking into consideration the potential costs, outlined in section 9.0 that will be required to be provided within the Council's capital programme in order to deliver this.

## **Background Papers**

Children's Services ECSR Business Case

June Executive Board Report – Social Care Systems Review