

Report of Director of Adult Social Services

Report to Corporate Governance and Audit Committee

Date: 8th November 2013

Subject: Update - Shared Service Partnership with Calderdale Metropolitan Borough Council to meet Adult Social Care Technology Requirements

Are specific electoral Wards affected? If relevant, name(s) of Ward(s):	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are there implications for equality and diversity and cohesion and integration?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Is the decision eligible for Call-In?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Does the report contain confidential or exempt information? If relevant, Access to Information Procedure Rule number:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Summary of main issues

- 1 This is the third report presented to the Corporate Governance and Audit Committee, regarding Leeds City Council's partnership agreement with Calderdale Metropolitan Borough Council (MBC) for the sharing, use and joint development of its Case Management and Information System named CIS (Client Information System).
- 2 The main issues covered in this report are as follows:
 - The governance arrangements detailed in previous reports continue to provide effective management and control of the partnership arrangements and implementation of the new system.
 - A joint strategic development group, made up of operational staff from both authorities is providing an invaluable forum to jointly share, discuss and ultimately shape future ways of working and best use of shared technologies. A key priority for this group is to place Leeds and Calderdale in the best position to meet the emerging challenges presented by the future social care reforms.
 - The implementation of the new system is progressing well across the key areas, which include:
 - CIS implementation
 - EDRMS
 - Enhanced reporting and business intelligence
 - Data preparation and migration
 - Establishing business readiness

- There has been some initial delay to the development of the Leeds version of CIS. Due to the unique circumstances of the partnership, at the outset it was recognised as a key risk that it could require more time to build the necessary capacity and capability available from Calderdale MBC with the appropriate expertise. Whilst this was an issue initially, Calderdale MBC has responded quickly and taken steps to rectify the position and prevent any further delays.
- There have also been some issues in setting up the dedicated social work team to work on the implementation. This is due to the difficulties in releasing experienced staff without compromising frontline services at a time of immense change and operational pressures. This has been carefully managed and the full social work team working on the project is now in place.
- A review and re-scheduling exercise is being carried out to assess the issues that have been encountered and to understand their potential impact. The programme is in the process of being re-scheduled to ensure that there is no impact to the quality of the solution that is implemented and to consider where any time that has been lost could be pulled back.

Recommendations

- 1 It is recommended that the Corporate Governance and Audit Committee review the issues outlined in this report and note the progress that has been made, as well as the challenges that have been encountered. Corporate Governance and Audit Committee members are invited to make comments and raise any concerns to support the successful implementation of the programme.
- 2 It is recommended that the Corporate Governance and Audit Committee agree to receive a further report on the progress of the programme in 6 months' time.

1 Purpose of this report

This report has been written to provide an update on the progress of the ASC Systems Review Programme. It will inform Corporate Governance and Audit Committee members of the challenges that have been faced in the last six months and the steps that are being taken to effectively implement and provide effective technology solutions within Adult Social Care.

2 Background information

- 2.1 Leeds City Council has entered a partnership agreement with Calderdale MBC to share, use and jointly develop its case management and information system CIS. As agreed by Leeds City Council's Executive Board in July 2012, this solution will replace the current bespoke case management system in Adult Social Care (ASC), named ESCR, and the accompanying ESCR financial system.
- 2.2 The ASC Social Care Systems Review Programme was established to manage the implementation. The programme consists of five main areas of activity:
 - **CIS implementation:** the implementation of Calderdale's CIS case management system, including integrated financial and contract management modules, in partnership with Calderdale MBC to meet Leeds' requirements

- **EDRMS:** The implementation and integration of Leeds City Council's corporate Electronic Document and Records Management System (EDRMS) in parallel with the implementation of CIS. This will enable a single, fully electronic client record.
- **Enhanced reporting and business intelligence:** The development and build of a reporting and business intelligence (BI) solution to meet the reporting requirements of ASC through the use of existing corporate reporting and business intelligence technology
- **Data preparation and migration:** The work to prepare all of ACS's data and move it into the right places in CIS from existing data sources such as ESCR, ESCR Financials and bespoke spread-sheets
- **Establishing business readiness:** The preparation of the business (service areas within ASC) for the new system, including establishing the systems and processes to ensure the benefits of the new system are realised and full training on CIS is rolled out across ASC

2.3 It was initially estimated that the replacement system would be ready to go live for 1st April 2014. This date is under review in view of the issues outlined in this report.

3 Main issues

3.1 Governance Arrangements

- 3.1.1 The governance arrangements detailed in previous reports continue to provide effective management and control of the partnership arrangements and implementation of the new system.
- 3.1.2 The governance has proved effective in escalating and resolving the issues encountered in the project to date.
- 3.1.3 A joint strategic development group, made up of operational staff from both authorities is providing an invaluable forum to jointly share, discuss and ultimately shape future ways of working and best use of shared technologies. A key priority for this group is to place Leeds and Calderdale in the best position to meet the emerging challenges presented by the future social care reforms.

3.2 Progress To Date

- 3.2.1 **CIS implementation:** The majority of the Leeds environments (servers) have been built which will support testing and training. The development of CIS to meet specific Leeds needs has been planned in four stages. The second release of the Leeds specific CIS developments, which contains approximately 45% of the required changes, is currently in the testing stage with the third release scheduled to be in Leeds for the end of November.
- 3.2.2 **EDRMS:** Work is underway to develop the corporate electronic document records management solution and integrate this with CIS to provide a full electronic client record. This is a joint collaboration between Calderdale and Leeds developers and social work practitioners in Leeds to provide an enhanced and very secure client record in a single place. Approximately 200,000 existing attachments on ESCR have also been identified and prepared for migration to the new electronic document records management system.
- 3.2.3 **Enhanced reporting and business intelligence:** Provision of essential information and intelligence about care services is becoming increasingly critical and complex. The ASC solution is being developed, utilising the work and technology that has been used to develop a solution for children's social work

services (CSWS). The design and build of the solution is on track in-line with the CIS development schedule. The solution is being developed in a way to meet the changing information needs driven by integrated health and social care services and the future care reforms.

- 3.2.4 **Data preparation and migration:** A significant amount of work has been carried out, on the 15,000 open ASC client cases, to improve the quality of the data on the existing system in preparation for the migration. On-going work in operational teams has also improved the quality of recording across ASC to ensure the level of quality is maintained. There are approximately 88,000, old and new, adult client records on the system, which equates to several million rows of data which will be require migrating. Work carried out on the migration of CSWS data to the new children's system has provided invaluable knowledge and skills to aid the ASC migration.
- 3.2.5 **Establishing business readiness:** The engagement and involvement of operational teams and social care practitioners is essential to the success of the project. Detailed business implementation and engagement plans have been put in place taking into consideration the day-to-day pressures of frontline staff. The engagement that has taken place in ASC has been vital to ensure the design of the system is fit for purpose.
- 3.2.6 The programme is currently being delivered within the budget allocated and as previously reported has delivered some savings against budget as a result of the close working between the programme and the Children's Services programme.

3.3 Resource availability from Calderdale MBC

- 3.3.1 Due to the unique circumstances of the partnership, at the outset it was recognised as a key risk that it could require more time to build the necessary capacity and capability available from Calderdale MBC with the appropriate expertise. Once the development of the Leeds version of CIS began, it transpired that the capacity allocated to the project in Calderdale to develop the system and at the same time support the Leeds team to learn how it works was insufficient. This resulted in a delay to the development of the initial Leeds version of CIS.
- 3.3.2 The situation has now been rectified, with additional Calderdale resources allocated to the project both in Calderdale and based on site in Leeds. As a result, collaborative working has improved and will continue to improve as working relationships and knowledge develops.

3.4 Release of front line staff to work on the programme

- 3.4.1 From the beginning of the project, LCC Officers and Councillors have been clear that for the new system to be a success, it must be built specifically to support the work undertaken in ASC. Practitioners have an essential role to play in the process of defining how the system needs to work to meet their needs.
- 3.4.2 The original programme plan involved the secondment of a number of social workers and a social work team manager to form a dedicated social work team to work specifically on the programme. The activities planned for this team included:
- assisting the Analyst team to ensure that Leeds CIS developments are fit for purpose;
 - engaging in the testing process
 - working with operational colleagues and promoting the new solution to colleagues across ASC preparing them for the change.

Ultimately they will provide the social work expertise to ensure the system is fit for purpose.

3.4.3 Due to frontline pressures (both operational and transformational) and the priority to ensure services are not compromised, the social workers recruited to the programme have only recently been able to be released from their substantive posts. As a result, the programme will need to be rescheduled in a number of areas that depend on their input, such as the system build, testing and business engagement.

3.4.4 At the time of writing this report the full team had been in place for two weeks with the focus on getting up to speed with the project and the new system. Once up to speed it is envisaged that the work will quickly accelerate with their support and involvement.

3.5 Review and re-planning exercise

3.5.1 In light of the challenges outlined in sections 3.3 and 3.4, and in order to ensure that the quality of the implementation is not compromised, the decision has been made to undertake a review and re-scheduling exercise. This will involve reviewing the issues that have been encountered and their potential impact on the overall programme and re-scheduling the programme delivery as appropriate.

3.5.2 Consequently timescales will now be tighter than originally planned, however the priority for the programme is to ensure that a solution is delivered to practitioners that is fit for purpose and will help staff to work with our customers to achieve the best possible outcomes. It is essential therefore, that at this point we take the time to understand if there will be any implications for the solution that will be delivered and to re-schedule as necessary to ensure all of the anticipated benefits are realised. The outcome of this review and any rescheduling required is due to be considered by ASC Directorate Leadership Team on 7th November 2013.

3.5.3 The next phase of the project involves the second development release (Release 3) of the Leeds version of CIS as well as a number of system build, configuration and testing activities. The social work team have a critical role in these areas. It is as yet unclear if the time lost can be recuperated however a contingency plan has been formulated and considered by the Delivery Board to cover this eventuality.

3.5.4 In light of the outcomes of the review not being presented to ASC Directorate Leadership Team until 7th November, and therefore not contained in this report, a verbal update will be provided to members of the CGA Committee.

4 Risk Management

4.1 The innovative approach to forming a partnership with Calderdale and the implementation of their CIS case management system was always going to be high risk due to its very nature.

4.2 Whilst some issues have arisen these are being effectively managed through the governance arrangements that have been put in place. The boards in the governance model, including the Delivery Board, the Calderdale CIS joint Strategic Development Group and the Leeds and Calderdale Partnership Board are running effectively.

4.3 Along with the programme team, the boards are actively working to manage dependencies, risks and budget and ensure the effective delivery of the project. The boards support the review and re-scheduling exercise and have responsibility for agreeing the resultant plan. The main priority is to ensure we do not compromise the quality of the system and implementation for go-live.

4.4 Due to the programme being implemented in a time of unprecedented change across ASC, the environment in which the project is being delivered is highly complex, including:

- The integration of health and social care
- Significant service changes in response to the Better Lives Programme
- Service wide preparation for the social care reforms, including changes to technology
- Significant financial pressures
- Increasing demand and operational pressures on front-line staff

It must also be noted that the implementation of the new Children's system has been happening at same time. Any complications that have occurred have been managed appropriately and no issues are anticipated. However, if any final migration issues occur they could have a knock on effect for Adults system migration resource.

A key responsibility of the Boards within the governance structure will be to continually review the position throughout the implementation and act accordingly.

5 Conclusions

5.1 Progress has been made on all areas of the programme including the preparation of our data for migration; establishing business readiness; integration with EDRMS; reporting and business intelligence and the initial LCC CIS build in addition to the release of the first LCC specific CIS developments into LCC

5.2 The Corporate Governance and Audit Committee can be reassured that the established governance arrangements not only continue to effectively manage the risk and challenges posed by such an innovative programme but also ensure we are positioned to meet the emerging challenges presented by the future social care reforms

5.3 There has been some initial delay to the development of the Leeds version of CIS due to limited capacity available initially from Calderdale MBC with the appropriate expertise. Challenges due to frontline Adult Social Care (ASC) pressures have affected the availability of Leeds practitioners to work on the programme. These issues have been resolved and the programme is being re-scheduled accordingly.

5.4 The programme is being re-scheduled to ensure that it continues to deliver within budget and that there are no compromises to the required level of quality.

6 Recommendations

6.1 It is recommended that the Corporate Governance and Audit Committee review the issues outlined in this report and note the progress that has been made, as well as the challenges that have been encountered. Corporate Governance and Audit Committee members are invited to make comments and raise any concerns to support the successful implementation of the programme.

6.2 It is recommended that the Corporate Governance and Audit Committee agree to receive a further report on the progress of the programme in 6 months' time.