Leeds CITY COUNCIL

Report author: Steve Hume

Tel: 2478704

Report of Director of Adult Social Services

Report to Corporate Governance and Audit Committee

Date: 22nd April 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):	☐	Yes	☒	No
Are there implications for equality and diversity and cohesion and integration?	☐	Yes	☒	No
Is the decision eligible for Call-In?	☐	Yes	☒	No
Does the report contain confidential or exempt information? If relevant, Access to Information Procedure Rule number:	☐	Yes	☒	No

Summary of main issues

1   This is the second report presented to the Corporate Governance and Audit Committee, regarding the shared service partnership with Calderdale. A previous report was presented on 28th September 2012, at the request of the Executive Board, and members of the committee requested that an update be provided six months from this date.

2   A general update on progress is also due to be considered by the Executive Board on 24th April 2013. The report to Executive Board recommends that further monitoring of progress is undertaken by Corporate Governance and Audit Committee.

3   The key areas this report focusses on are;

   • The governance arrangements implemented to ensure the solution implemented is fully fit for purpose and that any risks are effectively managed throughout the implementation

   • The contract arrangements that have been put in place to ensure a clear understanding of the working arrangements of the shared service and provide appropriate safeguards and protection for both Leeds and Calderdale.

4   A comprehensive and formal contractual agreement has been drawn up between Leeds City Council and Calderdale Borough Council. Being a unique type of contract for the two authorities additional diligence has been applied to ensure

there is adequate protection provided for both parties during and after the systems are implemented.

5   Robust governance arrangements have been established to both manage the successful implementation and to monitor and manage the partnership arrangements going forward. Appendix 1 defines the governance arrangements that have been put in place.

Recommendations

6   That the Corporate Governance and Audit Committee review this report and are invited to make comments and raise any issues/concerns in support of the successful implementation of the programme.

7   That the Corporate Governance and Audit Committee agree to receive a further update in 6 months time.

1   Purpose of this report

1.1   This report provides members of the Corporate Governance and Audit Committee with an update on progress and the assurance that:

1.2   Adequate governance arrangements have been established to ensure the solution implemented is fully fit for purpose and that any risks are effectively managed throughout the implementation

1.3   The contract arrangements that have been put in place do ensure a clear understanding of the working arrangements of the shared service and provide appropriate safeguards and protection for both Leeds and Calderdale.

2   Background information

2.1   In July 2012 the Executive Board gave approval to enter into a partnership agreement with Calderdale Metropolitan Borough Council for the purchase of an initial 20% share of their Adult Social Care Client Information System (CIS) to replace the existing ESCR and ESCR financial systems.

2.2   It also authorised the necessary capital spend to undertake the following:-

- purchase a share in the system and implementation support from Calderdale Metropolitan Borough Council;

- implement the Case management, integrated financial and contract management modules of Calderdale's CIS in partnership with Calderdale Metropolitan Borough Council to meets Leeds requirements;

- implement and integrate Leeds City Council's corporate Electronic Document and Records Management System (EDRMS) in parallel with the Case Management System;

- build and develop a reporting and Business Intelligence (BI) solution utilising existing corporate reporting and Business Intelligence technology.

2.3   Responding to specific concerns raised as to whether the Adult Social Care Client Information System used by Calderdale Council would be fit for Leeds' purpose, The Executive Board requested that related matters were referred to the Corporate Governance and Audit Committee, so that the acquisition of the system could be monitored.

2.4   A report was considered by the Corporate Governance and Audit Committee on 28th September 2012 addressing those issues and the Members of Corporate Governance and Audit committee requested a further report to provide an update on progress of the acquisition and implementation of the system.

3   Main issues

3.1   Governance Arrangements

3.1.1   A significant amount of time and effort has been put into establishing appropriate and effective governance arrangements both within the council and with

Calderdale Metropolitan Borough Council. The governance model (see Appendix 1) is designed to manage the relationships between the two councils during the implementation as well as for the on-going development and support and maintenance of the system and the commercial aspects. All Boards in the governance model, including the Calderdale CIS joint Strategic Development Group and the Leeds and Calderdale Partnership Board have been established. Terms of reference for each board have been defined and agreed and form a schedule within the overarching contract agreement.

3.1.2   Additional groups and formal boards have been established alongside existing governance forums e.g. Adult Social Care's Directorate Leadership Team and Directorate Senior Management Team. The diagram (in Appendix 1) shows existing and newly established forums in three parts; forums displayed in the top centre/right of the diagram are the existing forums, those displayed in the centre/bottom of the diagram are the programme implementation specific forums and those displayed on the left of the diagram are the partnership/joint user forums. The diagram also outlines the key role and responsibility of each forum in governing the overall implementation.

3.1.3   Ultimate accountability for the successful implementation and overall governance lies with the Sponsoring Group, the ASC Directorate Leadership Team. The sponsoring group has delegated the responsibilities for managing the implementation to the Delivery Board through the Chief Officer Resources and Strategy who attends on both boards.

3.1.4   Each board has specific responsibilities to both the implementation projects and the councils themselves to manage relationships, budgets, timescales and risks. Senior representatives from each authority attend the board with specific management roles and clear responsibilities within each organisation.

3.1.5   The governance arrangements also provide the forums and mechanisms for effective management of the programmes implementation risks as well as the unique risks presented by this type of partnership working. Escalation routes have been clearly defined to ensure appropriate and timely action can be taken to mitigate risks or quickly resolve any issues that occur.

3.1.6   The User Group arrangements are also supplemented by the on-going engagement between front line staff and the Delivery Board facilitated by a dedicated Communication and Engagement Officer who has been engaging with front line teams and reporting key messages to each Delivery Board.

3.2   Contract Arrangements

3.2.1   A formal contract agreement has been drawn up by legal teams and chief officers within Leeds City Council and Calderdale Council. It is a comprehensive contract agreement and in recognition of its unique nature, additional diligence has been applied in drawing it up.

3.2.2   One of the key aspects of the agreement is to establish clear working principles and arrangements including detailed responsibilities and obligations. These arrangements cover the implementation of the system as well as the on-going development and support of the system by Calderdale.

3.2.3   Another aspect it covers is to ensure there is protection for both councils in the event the partnership breaks down or is terminated by either party for any reason. The legal principles put in place are there to ensure either party can continue to operate and provide the same high level of service whilst alternate arrangements can be put in place.

3.2.4   The agreement also formalises how individual and joint risks will be managed throughout the life of the agreement.

4   Overall Progress with Implementation

Plans are in place to complete system build, development and testing prior to December 2013. Implementation plans are under review to assess optimum timescales for live roll out between January 2014 and March 2014. The preferred time for implementation will be determined by other factors within ASC including:

- Key staff availability during Christmas/New Year period.

- The national introduction of Zero Based Review with a number of new requirements from the 1st of April 2014.

- Coordination with the planned activity from Better Lives Programmes

- Year-end considerations including statutory returns and financial year end.

In overall terms the programme is on track to planned timescales and within planned budget. Further details of specific progress of key areas for implementation are:

4.1   **Establishing business readiness:** The implementation of the new system has been seen by ASC senior managers as an ideal opportunity to streamline our processes and make sure all teams are working in the most effective ways possible, appropriately supported by technology. Since September 2012, work has continued with staff from across ASC to map and validate all of our business processes. The roles, responsibilities and recording requirements of each team have been set out in relation to information management and data quality. These 'process maps' provide a detailed breakdown for every area of work, all of which need to be supported by CIS. Operational social work practitioners specialist are being seconded onto the project team to ensure the system and any developments and configuration fully support best practice and efficient ways of working.

4.2   **Gap analysis:** A 'gap analysis' has been undertaken to compare Leeds ASC process maps showing the way we want to work in each area, to how CIS is currently set up in Calderdale. Any areas where these processes do not currently match have been flagged up as gaps or potential opportunities. ASC representatives then worked with Calderdale Colleagues to see where CIS should be developed to match our processes, and when we should adapt our processes to make the most of the functionality available in CIS.

4.3   **CIS Development Plan:** The results of the gap analysis were used by ASC representatives from Leeds and Calderdale to establish how CIS will be developed to support Leeds ASC's future operating model. These have been laid out in a

development plan, and categorised into 'day one' and 'day two' developments. Day one developments have been defined as those developments that must be in place for when CIS first goes live in Leeds to meet existing requirements. Day two developments are those that are not essential for go live and so will be implemented as part of the on-going system upgrades after go-live so that the implementation is not delayed. Day two requirements will focus on supporting the development and delivery of integrated services. Since January 2011, and as of December 2012, a total of twelve joint Social Care and Health demonstrator sites have been setup. Following the successful implementation of the demonstrator sites work is progressing to expand the model to all community pathways.   Work to deliver the Health integration agenda has progressed significantly over the last two years and transformation continues at a pace. Whilst there is no intention, at this stage to develop one integrated system, to ensure that information can be shared (electronically or otherwise) to support integrated working requires significant work to be undertaken in relation to consistency of information standards. A flexible system and agile development capability, together with the inherent improvements in data security available within the CIS system, will be crucial to undertaking this work efficiently and effectively. On-going system development is a critical part of ASC's approach to information management and will be an important new way of working to ensure the directorate stays up-to-date with both local and national requirements. As part of the joint development plan, Calderdale have expanded their CIS development team who are beginning the work to set up the system for Leeds.

4.4   **Test system and hardware:** At the time of writing this update a CIS test system was being built and installed in Leeds. Initial performance testing is scheduled to start in April to test how well the system operates on the Leeds' infrastructure. The plan is to have a Leeds specific configured system, including first phase developments, by the end of June 2013 to take out to operational teams in a series of interactive demonstrations.

4.5   **Reporting:** A specific project team has been established to focus on building and developing a reporting and Business Intelligence (BI) solution. The team are utilising existing corporate reporting and Business Intelligence technology. The team has been working jointly with Calderdale Metropolitan Borough Council to specify what will be developed within the enhanced reporting solution for the system. The developments will incorporate statutory reporting, work-load management, performance management and business intelligence. The reporting and BI work is also a shared endeavour with Children's Services, utilising the same technology, to provide enhanced reporting alongside the new children's social care system.

4.6   **Data Migration:** Governance for the ASC Data Preparation and Migration Board has been established. Data Quality Owners from ASC have been identified and Data Quality Groups have been set up to ensure data quality is being managed and seen as 'everybody's business'. The quality of ASC data will be key to supporting a successful migration of data from the existing ESCR case management system to the new CIS system. The quality of all ASC data is being monitored by a set of reports forming a data quality dashboard. Significant progress has been made with regards to improving the quality of ASC data. This supports the objective of improving the ASC data set, as far as is possible, ahead of the migration to CIS. This has enabled us to do joint and detailed mapping with

Calderdale to ensure that all the information we need has been identified for migration from ESCR and all of the other places we currently store information (information assets) into CIS.

4.7   **Electronic Data Records Management System (EDRMS):** the intention was to utilise Leeds City Council's corporate EDRMS solution, Wisdom, to provide a full electronic CIS record. The supplier of Wisdom, who were also our integration partner, has gone into administration. However, another company has recently taken over the Wisdom product and we are in discussions with the vendor to understand their proposals. Corporately we are also looking at the feasibility of using Sharepoint2010 to deliver an EDRMS solution. Whilst the extent that this may affect the CIS implementation is under review, Calderdale Metropolitan Borough Council were able to quickly develop a proof of concept to integrate SharePoint2010 providing assurance if this is identified as the preferred corporate solution.

5   Risk Management

5.1   As the partnership is an innovative approach, the relevant procurement and legal resources have worked on the definition and documentation of the partnership, commercial principles and arrangements. Careful diligence and specific arrangements have been put in place to ensure the partnership is successful and this due diligence will continue throughout the lifecycle of the programme to ensure that Leeds City Council and Calderdale have the relevant assurances and protection in place.

5.2   Effective and robust governance arrangements have been established within Leeds City Council and across the partnership with Calderdale Metropolitan Borough Council to manage dependencies, risks and budget and ensure the effective delivery of the project as well as ensuring the system is fully fit to meet future requirements.

5.3   To illustrate the progress made, in the last 6 months, in reducing and mitigating the significant risks in implementing a replacement system, the number of open risks have reduced from 42 to 31, of which those that are rated high/very high have reduced from 31 to 16.

6   Conclusions

6.1   The key emphasis within this report is that the programme is on track to deliver on time and within the approved budget.

6.2   The governance arrangements and the contractual agreement that have been established, together with the implementation work undertaken to date provide the council with the assurance that the solution itself will be fit for purpose to fully support Adult Social Care services and that the budget, timescales and risks are and will continue to be effectively managed.

7   Recommendations

7.1   That the Corporate Governance and Audit Committee review this report and are invited to make comments and raise any issues/concerns in support of the successful implementation of the programme.

7.2   That the Corporate Governance and Audit Committee agree to receive a further update in 6 months time.

Sponsoring Group

Adult Social Care System Implementation Governance

ASC Directorate Leadership Team

MOU / Contract Agreement
Contract Monitoring
SLA Monitoring
Financial Management
Commercial Development
Commercial Management
Partnership Risks

Partnership Board

Scope & Phasing
 - Prioritisation
Change Impact
Business Risks
Issue Escalation
Business Fit – Final Sign Off
Overall Governance

ASC Directorate Senior Mgt Team

Phase 1

A&I SMT/SDM

Resource Management
Process / Forms Sign Off
Business Change Implementation
& Coordination
Issue Management
Business Readiness

Joint Strategic Development Group

Business Resource Planning
Process Review Sign Off
Change Implementation
Operational Dependencies
Operational Risks and Issues
Operational Acceptance
Business Readiness/Assurance
Benefit Realisation

Joint Development Roadmap
 - Identification and Definition
 - Prioritisation
 - Agree / Sign Off
 - Funding
 - Commissioning

Delivery Board (Phase 1)

ASC IM&T Board

BAU User Groups / Support Teams

Data Prep and Migration Board

Delivery Board (Phase 2)

IM&T Future Roadmap
IM&T Resource Planning
IM&T Dependencies
Progress monitoring against IM&T Roadmap
IM&T Risks and Issues

New Changes – Build/Configure
Test
Implementation Planning
Acceptance Testing
Support Change
Training
Roll Out of changes

Data Quality Group

Data Prep & Migration Strategy
Migration Cohort
Data Quality Rules
 - Identification
 - Prioritisation
 - Progress
 - Preparation
Data Validity/Integrity Acceptance
System Retirement Plans

Implementation Plan
Resource Plan
Change Implementation Plan
Business Change and Engagement
Benefit Realisation Planning
Dependency Management
Risk Management
Issue Management
Financial Management
Readiness Review & Sign Off

Implementation Programme Team

User Group
Business Leads
Change Champions

Design & Build
Development
Configuration
Testing
Data Migration
Business Change Planning
Implementation Planning
Acceptance Testing
Support Model
Training
Roll Out