

**Report of : The Director of Adult Social Services**

**Report to : Executive Board**

**Date: 24<sup>th</sup> April 2013**

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

Are specific electoral Wards affected?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
If relevant, name(s) of Ward(s):		
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 checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Does the report contain confidential or exempt information?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
If relevant, Access to Information Procedure Rule number:		

**SUMMARY OF MAIN ISSUES**

1. The decision, to enter into a partnership agreement with Calderdale Metropolitan Borough Council to replace the existing Adult Social Care case management system (ESCR) with Calderdale's Client Information System (CIS), was approved at Executive Board on 18<sup>th</sup> July 2012. On August 2012 the Scrutiny Board for Health and Well-being and Adult Social Care released this decision for implementation. The proposals were also reviewed, at the request of Executive Board, by the Corporate Governance and Audit Committee on 28<sup>th</sup> September 2012.
2. Significant progress has been made on the Adult Social Care (ASC) Systems Programme since the scheme was approved for implementation. The partnership agreement and contract has been agreed with Calderdale and the on-going governance arrangements established. The ASC Systems Programme is on track and within budget for the implementation of Calderdale's Client Information System (CIS) in Adult Social Care by March 2014
3. A significant amount of work has been undertaken to ensure ASC is working in the best possible way in preparation for using the new system. To establish this 'business readiness' ASC processes have been streamlined to ensure all teams are working in the most effective and efficient ways possible. A CIS development plan has then been established to ensure CIS is set up in the best possible way to support these processes in Leeds.
4. At the time of writing this update a CIS test system was being built and installed in Leeds. Initial performance testing is scheduled to in April 2013 to test how well the system operates on the Leeds' infrastructure.

## **RECOMMENDATIONS**

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1. Executive Board members are asked to note the progress since the decision was released for implementation and that the programme is on track to planned timescales and within planned budget.
2. Executive Board members are asked to note the work that has gone into the formal partnership agreement to ensure risks are appropriately managed throughout the successful implementation of CIS in Leeds and provide a high level of on-going protection to the council.
3. Executive Board members are requested to agree that the Council's Corporate Governance and Audit Committee continue to review progress at 6 monthly intervals to provide assurance of successful implementation of the programme.

## **2 PURPOSE OF THIS REPORT**

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- 2.1 The purpose of this report is to provide an update regarding the progress made by the ASC Systems Programme since the decision was released for implementation in August 2012. The report outlines the work to;
- Finalise the contractual agreement with Calderdale Metropolitan Borough Council ,
  - Establish the governance arrangements for the implementation and the future partnership
  - Establish business readiness to make sure we are working in the best possible ways before the system is implemented
  - Produce a two stage plan for the development of CIS for Leeds, prior to and post implementation
  - Build a test version of CIS for Leeds
  - Establish a reporting project team to focus on building and developing a reporting and Business Intelligence (BI) solution.
  - Establish governance for the ASC driven Data Preparation and Migration Board and identify Data Quality Owners and Data Quality Groups from ASC

## **3 BACKGROUND INFORMATION**

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- 3.1 The decision, to enter into a partnership agreement with Calderdale Metropolitan Borough Council to replace the existing Adult Social Care case management system (ESCR) with Calderdale's Client Information System (CIS), was approved at Executive Board on 18<sup>th</sup> July 2012. On 9<sup>th</sup> August 2012 the Scrutiny Board for Health and Well-being and Adult Social Care released this decision for implementation. The proposals were also reviewed by the Corporate Governance and Audit Committee on 28<sup>th</sup> September 2012 to provide assurances regarding:
- The diligence conducted to ensure the system will be fully fit for purpose; and
  - The mechanisms and governance being put in place to effectively support the acquisition and implementation of the solution.
- 3.2 The programme is scheduled to provide a second update to the Corporate Governance and Audit Committee on 22<sup>nd</sup> April 2013. Corporate Governance and Audit Committee have indicated that they would wish to continue to receive updates and monitor progress of this programme as part of their on-going assurance responsibilities.

### 3.3 The scope of work within the scheme included:

- Purchase and implementation of CIS and integrated financials in partnership with Calderdale ensuring Leeds CIS was fully fit for purpose to meet business and technical requirements within Leeds.
- Provide Adult Social Care with a full electronic case management system through the integration of Leeds CIS with LCC's Corporate Electronic Document and Records management System (EDRMS)
- Build and develop a Reporting and Business Intelligence solution utilising existing corporate technology
- Preparation and migration of Adult Social Care client information from existing systems e.g. ESCR to Leeds CIS.

### 3.4 Key Benefits of adopting Calderdale CIS:

- 3.4.1 **An efficient system that supports staff:** The Calderdale system is an intuitive and responsive system, built using practitioner logic and language. It is highly thought of by professionals currently using it (see appendix 1 for testimonials about CIS System from Leeds ASC). Calderdale have focussed on the practitioner in the design and look and feel of the system. Time spent navigating and recording on the new system will be significantly reduced allowing front line care workers more time to work with clients and partners to improve the lives of vulnerable adults in Leeds.
- 3.4.2 **An efficient client information system that supports effective working with service users:** The Calderdale system is a proven case management system designed to support quality front line social care. The way system is configured promotes accurate and up to date client information and reuses information already collected thereby minimising the number of times clients have to inform different teams about the same details. The information contained in the system is also structured in a more effective way for practitioners and partners to ensure safeguards are place for vulnerable clients.
- 3.4.3 **Responsive to future requirements:** CIS can be configured to meet our needs in Leeds. It is known as a stable system that can be modified quickly as requirements change. This will place Leeds at an advantage as the system can be adapted relatively easily to support new ways of working and in particular future integration with health partners. Calderdale Metropolitan Borough Council are keeping track of national and local changes and will work with Leeds City Council in the future to ensure CIS continues to be developed to remain at the forefront of all future changes.
- 3.4.4 **Contractual benefits:** The flexible contract with Calderdale offers an advantage for Adult Social Care over the alternative of a traditional procurement from a third party supplier. The agreement does not 'lock' the Council into a long term contract for modules that we may not need once we have greater integration with health. The system is also being implemented in a timely manner, as we have avoided the lengthy EU procurement process.

## 4 MAIN ISSUES

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### 4.1 Progress since release for implementation:

Overall progress is on track to deliver against planned timescales (see 4.2. Implementation Timescales) and within the agreed budget (see 5.4 Resources and Value For Money). An

excellent working relationship has been formed between both operational and technical teams within Leeds and Calderdale.

- 4.1.1 **Contractual agreement:** Being a unique type of contract, additional diligence has been applied to ensure protection within the arrangement and in relation to the future marketing of the asset. Leeds City Council's relationship with Calderdale is proving effective with Social Care practitioners, ICT professionals and members of the Implementation team working well together. The partnership agreement between Leeds City Council and Calderdale Metropolitan Borough Council for use of CIS and future developments was agreed in March 2013. A large amount of work went into establishing the details of the partnership agreement and defining the success criteria for both Councils. The contract clearly lays out the future responsibilities for development and maintenance of the system, with Leeds City Council having a fifty per cent say in all developments, and up to a fifty per cent stake in the asset.
- 4.1.2 **Governance arrangements and staffing:** Due to the unique relationship, a significant amount of time and effort have been put into establishing appropriate governance arrangements both within the council and with Calderdale Metropolitan Borough Council. The governance model (please see Appendix 2) accounts for pre-implementation relationships between the two councils as well as for the on-going partnership relationships, technical developments and future ways of working. All Boards in the governance model, including the Calderdale CIS joint Strategic Development Group and the Leeds and Calderdale Partnership Board have been established, together with their links to existing governance forums within the directorate, particularly the Directorate Leadership and Senior Management Teams (DLT and DSMT). The CIS development team is now fully staffed and a business implementation team have been established. The business implementation team involves key stakeholder representatives, reflecting the importance of the on-going involvement and engagement of ASC practitioners (particularly front line users of the system) in the development of the system.
- 4.1.3 **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.
- 4.1.4 **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.
- 4.1.5 **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 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.

- 4.1.6 **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 2013 to test how well the system operates on the Leeds' infrastructure.
- 4.1.7 **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.
- 4.1.8 **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.
- 4.1.9 **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.

## **4.2 Timescales**

- 4.2.1 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 1<sup>st</sup> of April 2014.
  - Coordination with the planned activity from Better Lives Programmes
  - Year-end considerations including statutory returns and financial year end.
- 4.2.2 The planned timescales are comparable with the implementation of a third-party system, such as that being implemented in Children's Social Care.

## **5 CORPORATE CONSIDERATIONS**

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### **5.1 CONSULTATION AND ENGAGEMENT**

- 5.1.1 Consultation is on-going with key stakeholders, staff, unions, managers, partners. To date, thirty four teams currently using ESCR have been visited and had the opportunity to share what successful implementation of CIS would look like in their area, any concerns they may have as well as discussing with us how they would like to be involved in the programme in the future. More than twenty five senior managers for ASC have also taken part in individual key stakeholder meetings. All of this information has then informed the planning and delivery of the programme, and will ensure we are engaging with people on an on-going basis in the way that is best for them. The successful engagement of stakeholders is fundamental to the success of the ASC Systems Programme as it not only involves the introduction of new technology, but significant changes to the way that staff within ASC use, manage and value information.
- 5.1.2 Individuals from across ASC were involved in selecting CIS and were ultimately responsible for deciding whether or not it would meet our needs. Since that point, a high level of consultation and engagement has been maintained throughout the work of the ASC Systems Review. People from across ASC have been involved in deciding how they will work more effectively in future, how ASC process could be streamlined and how CIS should be set up to support this way of working. Real engagement and involvement of managers, practitioners, and support staff is also a fundamental part of delivering the business change required to ensure CIS will be used effectively and ultimately to ensure practice is improved.
- 5.1.3 The implementation of CIS will indirectly improve customer experience as more practitioner time will be released for face-to-face practice. However, no clients or customers will interact directly with the system at this stage so consultation on the functionality of the system was not been deemed appropriate. The partnership does however aspire to develop areas of customer interaction with the systems in the future, for example through a customer portal. At this point customer involvement and input will be key. This will be planned and sought jointly with Calderdale to ensure all customers are fairly represented and influence the development of any interactive system appropriately at that stage.

## **5.2 EQUALITY AND DIVERSITY, COHESION AND INTEGRATION**

- 5.2.1 The improved functionality of CIS will support practitioners in all aspects of their work and support ASC to fulfil its safeguarding functions and enable staff to continue to protect those at risk of harm.
- 5.2.2 There are four specialist applications used in Leeds City Council to improve accessibility of technology for staff with specific needs. Calderdale currently use two of these applications successfully with CIS. Further testing is due to take place to ensure CIS works with the other two applications. If any issues were identified Calderdale would undertake further development to rectify.

## **5.3 COUNCIL PRIORITIES AND CITY PRIORITIES**

- 5.3.1 The ASC Systems programme has been working with staff from across ASC to ensure CIS is developed in a way that will support best practice in Leeds and enable the directorate to reduce inequalities in the health of the citizens of Leeds, address the challenges that are presented by more people living longer and ensure people receive high quality services.
- 5.3.2 The ASC Systems programme has established strong links with other work being undertaken across the directorate, specifically in relation to the better lives themes: better lives through enterprise; better lives through integration; better lives through housing care and support.
- 5.3.3 A joint strategic working group has been established with Calderdale Metropolitan Borough Council to look at our priorities and ensure that CIS continues to support ASC priorities both now and in the future. The 'gap analysis' provided an opportunity to think about key areas of development around referrals and care management and future methods of service delivery with health. Work is currently underway to understand where these opportunities can be exploited.

## **5.4 RESOURCES AND VALUE FOR MONEY**

- 5.4.1 The budget spend profile has been revised to reflect the fact that the majority of spend will be in 2013/14 rather than 2012/13, as originally outlined in the confidential appendix of the July 2012 report. The programme is being delivered within the planned spend as stipulated in the July 2012 Executive Board report and is on track to be completed within the approved scheme funding
- 5.4.2 A number of opportunities have been undertaken to minimise the costs of implementing two different systems e.g. joint purchase and build of servers, shared approach to the development of reporting and BI solutions and the use of shared resources and intelligence where appropriate including data migration software and tools.

## **5.5 LEGAL IMPLICATIONS ACCESS TO INFORMATION AND CALL IN**

- 5.5.1 The partnership arrangements with Calderdale Metropolitan Borough Council as well as the contract and the on-going governance arrangements have been developed in consultation with the Head of Property, Finance and Technology and the Procurement Governance and Regulations Manager.

## **5.6 RISK MANAGEMENT**

- 5.6.1 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.

- 5.6.2 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.

## **6 CONCLUSIONS**

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- 6.1** Significant progress has been made on the Adult Social Care (ASC) Systems Programme since the scheme was improved for implementation. The ASC Systems Programme is on track for the planned implementation of Calderdale's Client Information System (CIS) in Adult Social Care by March 2014.
- 6.2** The programme is on track to deliver all elements of the scheme within the approved funding
- 6.3** The partnership agreement and contract has been agreed with Calderdale Metropolitan Borough Council and the on-going governance arrangements established. This formal agreement provides the basis to manage risks and protects the council during and after the implementation.
- 6.4** An excellent working relationship has been formed between both operational and technical teams within Leeds and Calderdale which will be highly beneficial for the successful delivery of the project and on-going strategic development of the system.
- 6.5** A significant amount of work has been undertaken to ensure ASC is working in the best possible way in preparation for using the new system, CIS. To establish this 'business readiness' ASC processes have been streamlined to ensure all teams are working in the most effective and efficient ways possible. A CIS development plan has then been established to ensure CIS is set up in the best possible way to support these processes in Leeds.
- 6.6** 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 2013 to test how well the system operates on the Leeds' infrastructure.

## **7 RECOMMENDATIONS**

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- 7.1** Executive Board members are asked to note the progress since the decision was released for implementation and that the programme is on track to planned timescales and within planned budget.
- 7.2** Executive Board members are asked to note the work that has gone into the formal partnership agreement to ensure risks are appropriately managed throughout the successful implementation of CIS in Leeds and provide a high level of on-going protection to the council.
- 7.3** Executive Board members are requested to agree that the Council's Corporate Governance and Audit Committee continue to review progress at 6 monthly intervals to provide assurance of successful implementation of the programme.

## 8 BACKGROUND DOCUMENTS<sup>1</sup>

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None

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<sup>1</sup> The background documents listed in this section are available to download from the Council's website, unless they contain confidential or exempt information. The list of background documents does not include published works.

## CIS System Testimonials from Leeds ASC

*“CIS will empower staff to know what they need to do and give them confidence about the information contained in the system, with a lot more information at your fingertips rather than relying on the old paper trail.”*

(ASC Head of Service)

*“It looks like it will just do what I need it to, without over complicating things. The structure makes sense to me as a social worker, it’s really clear which is the most important thing.”*

(ASC Social Worker)

*“The fact that it pulls information through is great. If the team only have to key information in once, it will free them up to spend more time with service users.”*

(ASC Team Manager)

*“I really like the use of integrated assessment functionality... This will make workflow much easier to follow”*

(ASC Team Manager)

*“The reablement screens will help us to move on, as we will be able to record reablement information in the core system”*

(Service Delivery Manager)

*“I like the alerts icons - risks are much easier to see in CIS”*

(Social Worker)

*“In having separate areas to record specific workflow, CIS makes more sense to workers and is more logical in its structure”*

(Service Delivery Manager).

**Adult Social Care System Implementation Governance**



