

## MAYOR AND CABINET

Date: WEDNESDAY, 4 JUNE 2003

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## MAYOR AND CABINET

Report Title	OFFICE OF THE DEPUTY PRIME MINISTER, NATIONAL PROJECTS: FRAMEWORK FOR MULTI-AGENCY ENVIRONMENTS (FAME)		
Key Decision	YES		Item No. 13
Ward			
Contributors	EXECUTIVE DIRECTOR FOR RESOURCES/HEAD OF LAW		
Class	Part 1		Date: 4 JUNE 2003

### 1. Summary

This report seeks Mayor and Cabinet's approval for the commencement of the ODPM National Projects FAME programme for which Lewisham is the lead authority, working in partnership with seven other local authority partners; asks Mayor and Cabinet to note progress to date and proposed arrangements for delivery of the projects; and seeks delegated authority for the Executive Director for Resources to make decisions in relation to the implementation of the programme.

### 2. Policy Context

- 2.1 The Government has set strict targets for the achievement of e-Government and Electronic Service Delivery, and if these targets are to be met it is essential that efficient and effective information sharing between local authorities and partner organisations takes place. The ODPM has selected Lewisham to be lead partner for the £6.01m FAME "National Project" programme.
- 2.2 The FAME programme will develop a framework for information sharing in a multi-agency environment. The framework will be nationally applicable, omni-service and technology independent, and will improve the provision of services through effective and appropriate information sharing between local authorities, local authority service providers and other government agencies. Public sector organisations will have access to relevant and timely information; information quality will be improved by the avoidance of duplication; the framework will be adaptable and scaleable allowing it to be applied to a

range of service situations; and it will exploit emerging technologies to drive down costs and increase efficiency.

- 2.3 The application of the FAME framework will result in improved outcomes, a greater public perception of service quality, and the joining up of service access and delivery, focused around the customer, as opposed to the provider as it has traditionally been.
- 2.4 Once it is implemented the FAME programme will establish a nationally applicable, omni-service, technology independent approach to inter-organisation communication.
- 2.5 Follow on work on the FAME programme will be subject to further survey, but it is anticipated that the generic product will be applicable and supportive to achieving 100% electronic service delivery, joined up services and cross agency working.
- 2.6 There are 7 Local Authority project partners working under Lewisham's lead. Each partner is responsible for one project strand within the FAME programme. The partners are London Borough of Lewisham as the Accountable Body plus;

Bradford MBC  
London Borough of Bromley  
Newcastle upon Tyne City Council  
Shropshire County Council  
Surrey County Council with Woking DC  
Wirral MBC

- 2.7 Lewisham's involvement with FAME is intended to be at two levels:
  - 2.7.1 it is proposed that Lewisham is the lead authority, with responsibility to the ODPM
  - 2.7.2 it is intended that Lewisham will itself deliver a project which forms one of the Strands of the FAME programme.

### **3. Recommendations**

It is recommended that the Mayor:

- 3.1 approves Lewisham's participation in the FAME National Project;

- 3.2 gives delegated authority to the Executive Director for Resources to approve the final form of the FAME programme plan to the ODPM;
- 3.3 delegates authority to the Executive Director for Resources to approve project strands, enter into a Partnership Agreement with the project partners, and the release of funding against expenditure incurred by partners in accordance with the profile of spend set out at para. 13 of the detailed FAME bid submission which is contained at Appendix 1 to this report; and
- 3.4 notes the proposed arrangements in relation to delivery of this National Project which is Lewisham's responsibility; and approves the negotiation of a contract with one of the technology providers identified in this report, because of the special circumstances set out.

#### **4. Background**

- 4.1 The ODPM National Projects initiative is the flagship e-Government programme "helping local councils to deliver local e-Government".
- 4.2 The National Projects are at the heart of local e-Government. Projects are innovative partnerships of councils, other public sector providers, central government, the private sector and others.
- 4.3 The National Projects programme will provide all councils with tools to e-enable key services, without having to build them from scratch. They are led by local government for local government
- 4.4 Lewisham was invited to prepare the joint bid submission under the National Projects programme in October 2002. Outline approval for the £6.01m FAME programme was given in February 2003 when Lewisham was also appointed Accountable Body and lead authority. The proposal has been approved by the First Secretary of State and was laid before Parliament within Special Grant Report no.121 on 21 May 2003.
- 4.5 The final Project Initiation Document has already been submitted to the ODPM for approval by the National Projects Panel due to sit and agree funding release on 6 June 2003.
- 4.6 Some initial work on the programme has already commenced as the funding decision process has been delayed by several months. Currently the programme is scheduled to end in March

2004, but project partners will be seeking a programme extension as FAME was envisaged as an 18-month work programme. See Appendix 1 pages 8 to 28 for the detailed partners project submissions contained within the FAME bid.

- 4.7 The FAME programme will develop a framework for information sharing in a multi-agency environments. The framework will be nationally applicable, omni-service and technology independent, and will improve the provision of services through effective and appropriate information sharing between local authorities, local authority service providers and other government agencies. Public sector organisations will have access to relevant and timely information; information quality will be improved by the avoidance of duplication; the framework will be adaptable and scaleable allowing it to be applied to a range of service situations; and it will exploit emerging technologies to drive down costs and increase efficiency.
- 4.8 The application of the FAME framework will result in improved outcomes, a greater public perception of service quality, and the joining up of service access and delivery, focused around the customer, as opposed to the provider as it has traditionally been.
- 4.9 Once it is implemented the FAME programme will establish a nationally applicable, omni-service, technology independent approach to inter-organisation communication.
- 4.10 It is intended that the following project strand will test the developed information sharing framework:
  - London Borough of Lewisham will develop and test the solution for Identification Referral and Tracking of Children at Risk
  - Bradford Metropolitan Borough Council will develop and test the solution for the West Yorkshire Child Protection System
  - London Borough of Bromley will develop and test the solution for Housing Benefits Inter-working
  - Newcastle upon Tyne City Council will develop and test the solution for Children with Disabilities
  - Shropshire County Council will develop and test the solution for Integrated Mental Health Records
  - Wirral Metropolitan Borough Council, Surrey County Council with Woking District Council and London Borough of Bromley will develop and test the solution

## for Promoting the Independence of Vulnerable Older People

- Newcastle University will develop and test the Generic Framework stream and will further undertake an Evaluation of the whole programme and develop a Learning matrix.

The arrangements for the delivery of each of the projects within the FAME work programme will be the responsibility of the partner who is to deliver that project strand.

- 4.11 The Lewisham strand of FAME will deliver the technology requirement for the Children and Young Persons Unit IRT Trailblazer project currently underway at Lewisham. The CYPU funds are being used to develop the cultural change programme to enable multi-agency working and the business analysis need to allow information sharing, and co-location between the Directorates of Education and Culture, Social Care & Health, Housing, Lewisham PCT, the Acute Trust, South London and Maudsley Mental Health Trust, the Police and other public sector suppliers and agencies as required.
- 4.12 The technical framework solution will be delivered by joint work from Ciber UK and Liquidlogic. It is likely that Lewisham will then procure one of these technology partners to deliver the FAME IRT application. The likely spend for this product including the contribution to the FAME National Framework will be in the order of £350k.
- 4.13 The ODPM agreed the FAME business case and proposal on the basis of the use of one, or both of these two contractors. Liquidlogic and Ciber UK have been working closely with FAME partners for the past 12 months and have already developed applications to deliver multi-agency information sharing solutions (products of former Pathfinder projects), these same products will now need to be further developed and enhanced to meet the specific systems requirements of the FAME project strands. The short timescales for this programme makes procurement a matter of urgency and the FAME partnership would not be able to procure applications from another supplier and meet the FAME technology build requirements, for the generic information sharing framework, within the current timescales imposed by the ODPM.

## 5. Management and Administration

- 5.1 The FAME programme is managed by an Executive Board consisting of senior representatives from each partner authority. The relationship between the partners, and between Lewisham's role as lead authority and the other partners, is detailed in the Partnership Agreement. This is at present in draft, but it is intended that this will be signed between Lewisham and all other local authority partners. See Appendix 2 for a draft copy of the Partners Agreement.
- 5.2 The Executive Board has an independent Chair chosen by the ODPM. Anita Marsland is the Chief Executive of Knowsley PCT and Social Services.
- 5.3 Each partner authority is responsible for their project strand expenditure and is responsible to the Executive Board for the successful delivery of that strand. Lewisham, as lead authority, is responsible for Programme Management and Governance of the whole programme, ensuring that there are proper financial, audit, monitoring, project management and assessment and other procedures in place. Lewisham is accountable to the ODPM for delivery of these responsibilities.
- 5.4 The Executive Board currently meets every month but will shortly revert to meeting every other month.
- 5.5 The purpose of the Executive Board is to give detailed consideration to the overall strategy of the programme and to approve the project strands to which the ODPM funding is dispersed.

## **6. Financial Implications**

- 6.1 The London Borough of Lewisham is acting in the capacity of the "Accountable Body". Lewisham undertakes to maintain effective arrangements for safeguarding public money, including the maintenance of a clear line of responsibility and accountability for receipt and payment of the ODPM funds. Income and expenditure will be managed through Lewisham's financial management system and will be subject to Lewisham's financial regulations and standing orders.

- 6.2 The public interest will also be protected by a dynamic project appraisal process that ensures proposed projects contribute to meeting the objectives and outcomes set out in the Delivery Plan, that there is clear and demonstrable accountability and that projects represent good value for money.
- 6.3 This project is fully funded by the ODPM. Lewisham will receive £750k for developing and piloting an ICT solution for delivering IRT and a further £250k to cover the costs of Accountable Body and providing the National Programme Manager and programme office support to the FAME programme. A further £25k, additional to the funding shown below, can also be claimed by Lewisham to cover the preliminary costs of Programme Management in developing the business case and FAME bid proposals.

Project Strand	Partner Delivering	£000s
Programme management	Lewisham	250
Child protection system	Bradford (West Yorkshire Authorities)	1.500
Children with disability	Newcastle	250
Integrated mental health records	Shropshire	450
Identification, referral & tracking of children @ risk	Lewisham	750
Promoting the independence of vulnerable older people	Wirral & Surrey/Woking & Bromley	1,485
Integrated housing and benefits	Bromley	700
The generic framework model	Newcastle University, Liquidlogic/Ciber	500
Learning and evaluation	Newcastle University	100
<b>TOTAL</b>		<b>£5,98</b>

## 7. Legal Implications

- 7.1 The Council has a power to do anything considered likely to achieve the promotion or improvement of the social, economic or environmental wellbeing of the area (section 2 of the Local Government Act 2000, and subject to the relevant Guidance). The report sets out the intended benefits which are intended to accrue to the area by participation in the FAME programme.



7.2 The first element of the Council's involvement is the acceptance of a role as the Accountable Body in this ODPM project. This means that legal liability for the overall project is that of the Council. As Accountable Body, the Council is responsible for ensuring the proper use of ODPM funds in accordance with the terms of grant and requirements contained within the Local e-Government National Projects, Memorandum of Association (See Appendix 3 for a copy of the MOA). The Council has duties to ensure that there are in place robust project appraisal, financial, monitoring and other procedures.

7.3 This is a potential risk to the Council. The Council intends to control this risk by entering into legally binding agreements with each of the participating partners which will bind the partner to deliver their element of the programme set out in the FAME programme proposal, and will bind them to assist the Council with the delivery of its duties as Accountable Body. This report seeks certain delegations of authority intended to put in place administrative arrangements to assist with this.

7.4 The Council is itself going to deliver one element of the project. The report sets out the arrangements for this delivery. There is to be spend by the Council with a technological partner/s named in the report. The amount of this spend places the contract in Category B of Contract Procedure Rules, and above the threshold for the application of the EU Procurement Directives; the contract is largely one for services, with elements of supply. The report sets out the reasons why officers recommend the negotiation of a contract with the proposed technology provider. Normally, a contract of this level would be advertised through the normal procedures. However, Contract Procedure Rules allow negotiation of a contract where there are special circumstances, and the EU Procurement Directives also allow negotiation in certain circumstances. The report sets out in detail why officers recommend negotiation. While there is an element of risk, officers have been advised that the circumstances set out in the report are consistent with the view that there are technical reasons why only these service providers can perform the contract. This position is supported by the fact that the ODPM was only willing to accept the business case put forward by Lewisham on behalf of all the partners, on the basis that these providers were used. These circumstances therefore fall within the provision of the EU Procurement Directives which allow negotiation. (SF)

## 8. Urgency

- 8.1 This matter is a key decision which has not been included in the Forward Plan, due to the tight timescales of the ODPM funding process. However, the FAME local authority partners urgently need to commence the business analysis, development and testing of the technology application to deliver their project strand within the ODPM timescales.
- 8.2 The decision needs to be taken by such a date that it is impracticable to defer it until after it has been included in the next Forward Plan and until the start of the period to which the next Forward Plan relates. The reason for this is due to the short timescales imposed by the ODPM in the delayed Local e-Government National Projects programme, funding will now be agreed on 6 June 2003 for the immediate commencement of the FAME programme. In accordance with the provisions of regulation 15 Local Authorities (Executive Arrangements) (Access to Information) Regulations 2000, written notice has been given to the Chair of the Business panel that the decision will be made.

#### **BACKGROUND PAPERS**

None

For further information on this report please contact Alan Davies, Strategic Programme Manager – National Projects, Resources Directorate ext 46376.

APPENDIX 1

ITEM NO. 13

National Projects

FAME

FrAmework for Multiple Agency Environments

**FAME Draft v2 02/02/2003**

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## 1 *Introduction*

Local Government organisations have historically focused around delivery of specific services. This organisational approach has influenced the development of ICT systems so that these have also predominantly been based around services.

It is now widely recognised that in order to provide better customer service including single point access to multiple services, local authorities must share and integrate information across traditional systems and services.

There are many suppliers of ICT systems into local government. This is a strength, in that continuous competition and innovation is encouraged, however, it is also a weakness as different technologies and data standards inhibit information sharing. Standards are therefore vital to ensure effective joining up of customer service across each Council.

Government priorities for improved access to, and delivery of, services locally require that information is shared effectively between local organisations across the public, private and voluntary sectors. At present, information capture is repeated when a citizen is dealing with different organisations, frequently requiring duplication of effort for the citizen and the organisations involved. This dislocation of customer service results from a number of reasons, including:

- a lack of recognition of the need for continuity of customer service across organisational boundaries
- organisations being focused specifically on their own services
- an inability to trust information when offered by partner organisations due to lack of contextual information (metadata) e.g. when it was captured, by whom and for what purpose
- a lack of understanding of the potential to secure improvements in customer service and efficiency

Local Government has been recognised as the prime 'channel' through which services are accessed locally. If we are to deliver the aims of modernisation in respect of joining up service access and delivery, focused around the customer, as opposed to the provider, then it is essential that effective and efficient information sharing takes place. This, in turn, is absolutely reliant upon clear, appropriate and authoritative standards and the adoption of ICT systems that facilitate multi-agency working. Information sharing between public sector organisations is essential to the delivery of the modernising agenda.

This overview document sets out the framework for a National Project in developing a framework for information sharing in a multi agency environment. The Project is sponsored within the Local Government On-Line funded National Projects initiatives led by the Office of the Deputy Prime Minister under which a development is proposed using Local Government, Health, Academic and Private sector expertise to establish the principles and proof-of-concept in cross agency requirements for Information Age Government.

In order to give clarity to the start and end date of this particular project, there is a focus, a timescale and a selection of willing partners, who will work within the guidelines outlined in this document and the intended more detailed Project Initiation Documents, to explore this proposal in their own context but will engage with other agencies to apply the learning. Follow on work will be subject to further survey, but it is anticipated that the generic product and principles will be applicable and supportive to achieving 100% Electronic Service Delivery, joined-up-services and cross-agency working.

## 2 *Purpose & Objectives*

The FAME project aims to establish a framework which, when applied, will improve the provision of services through effective and appropriate information sharing between local authorities, local authority service partners and other Government agencies.

Specifically, departments, partners and agencies will have access to relevant and timely information; information quality will be improved by the avoidance of duplication; the framework will be adaptable and scaleable allowing it to be applied to a range of service situations; and it will exploit emerging technologies to drive down costs and increase efficiency.

## 3 **Benefits**

Attainment of these objectives will result in improved outcomes and a greater public perception of service quality.

This framework will be used by the individual service areas as the basis for detailed, sector specific work. It will establish a nationally applicable, omni-service, technology independent approach to inter-organisation communication.

## 4 *Background*

The current lack of an agreed framework for the exchange of information between public services agencies poses major difficulties, delays and inefficiencies in most situations. Where organisations need to operate in common areas to provide a service or achieve goals, the process is often inefficient, cumbersome and error prone. Further, the existence of different computer systems in different organisations means that expensive systems integration projects have been undertaken with low or non-existent returns. It is evident that situation specific systems integration is likely to be inflexible and prohibitively expensive. Where no integration between systems or data exists, staff have resorted to unstructured communication.

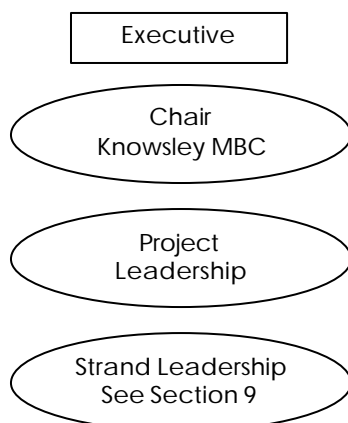
## 5 *Scope*

The framework project will deliver a proven, deployable standard covering the following areas.

- Process and workflow guidelines
- Knowledge, information and data standards
- Reference architectures and integration models
- Standards for identification, confidentiality and security
- Agreed practices in respect of legal issues
- Standards and models for the utilisation of new and existing channels (e.g. wireless, iDTV)

## 6 *Stakeholders*

The framework project to be guided by a steering group with representatives of all partners, under the chair of Anita Marsland (Knowsley MBC). A list of partners' representatives is provide in Appendix 1, and covers a range of agencies, and geographical locations including central government, management, and the academic, testing and supply skills required.



Stakeholders have established their commitment to the programme, which is to be formalised under a Memorandum of Understanding for the partnership and funding agreements for each of the respective strands.

Testing the principles and products will involve wider stakeholders including "local" stakeholders involved in the test sites, onward-testing and mentoring and feed-back from the partner agencies, staff and citizens who are

affected by this programme. A testing plan, engagement strategy (with other local agencies), communication and dissemination plans are constituents described in the PID of each strand.

Establishing the return on investment and the commitment for a measurement model of the efficiency savings / performance gains and impact analysis is an area that will benefit from the involvement of Newcastle University, and one in which the overall success of the programme can be reviewed and reported back to the ODPM and other Central Government Stakeholders as appropriate.

## 7 The Programme Board

The Project lead (accountable body) will be undertaken by the London Borough of Lewisham established under an executive board chaired by Anita Marsland of Knowsley MBC. The accountable body will be responsible for programme management and to co-ordinate and administer the overall work programme of constituent project strands. Each project strand will be led by a defined Project Manager responsible for developing its own tasks, within the development of the generic model.

## 8 Programme Management

The executive board will be supported in overall programme management by Alan Davies (Lewisham), agreeing and presenting progress reports, resource projections and reporting at executive board meetings. All Project management will follow the Prince2 methodology.

## 9 The Project Strands

The individual projects are linked by a generic product and a generic model; their selection is as described in the original National Project. Each strand is separately described in the Appendices.

Strand	Lead	Details
Programme management	Lewisham	Appendix 02
West Yorkshire - Child protection system	Bradford	Appendix 03
Children with disabilities	Newcastle	Appendix 04
Integrated mental health records	Shropshire	Appendix 05
Identification, referral & tracking of children @ risk	Lewisham	Appendix 06
Promoting the independence of vulnerable older people	Wirral & Surrey/Woking & Bromley	Appendix 07
Housing benefits inter-working	Bromley	Appendix 08
Generic framework model	Newcastle University, Liquidlogic / EcSoft	Appendix 09
Learnina and evaluation	Newcastle Universitv	Appendix 10

## 10 Proposed Technology Partners

The preferred technology partners are:

### 10.1 Liquidlogic

Using Liquidlogic's *Protocol* software to link together agencies involved in information sharing, improving services to the public e.g. Bradford MBC Child Protection System

- simplifying access for those professionals authorised to use it
- clarifying the referral process into social services from both connected agencies and those outside the scope of the electronic referral system
- providing a structure for cross agency communication to prevent cases falling between the cracks
- tracking case progress to enable effective handover of cases between agencies and individuals

### 10.2 EcSoft UK

Developing an intelligent agent to transform data to enable the sharing of information one-to-one between partners and to promote inter-agency working by supporting the exchange of information about services. This will focus on services that are critical to the intensive development that is often needed to integrate disparate systems, without the need to encode service and process-specific business rules.

This approach ensures developments can be reused by other councils with minimal re-working, and the knowledge gained will be easy to disseminate.

Liquidlogic and EcSoft will help develop shared-service systems to enable multi-agency working which will comprise a number of discreet activities that can be applied to a range of scenarios in the delivery of public services e.g. Liquidlogic's product *Protocol* builds 'federated applications' that provides the platform used to create joined up solutions.

The outputs will be a re-useable framework into which public service providers' can plug-in a variety of service delivery needs. A further output to support the deployment of multi-agency systems, will be a framework methodology for analysis and implementation.

## 11 Strategic Overview

Customer Relationship Management systems are seen as an important building block in working towards e-government objectives. CRM systems allow core data to be used to support services over multiple channels and to give organisations a complete picture of their relationship with individual customers. This can greatly enhance customer service and the efficiency of delivery.

In the private sector, CRM systems are complimented by the use of Enterprise Resource Planning systems: the former manages customer contact, ERP systems streamline back office functions. These systems are widely used to support a range of key business processes that underpin the needs and objectives of the organisation.

The principles these systems embody are relevant to the public sector. There are however some noticeable differences. The 'currency' of the private sector is predominantly commercial products and services that need to be developed, manufactured, warehoused, distributed and invoiced within a contractual business environment. In the public sector, the 'currency' may be a service such as an application for planning permission, or an individual as a client of a service. The request and delivery of public services takes place within a more fragmented environment of Central Government, one or more local authorities and other local public service providers. The service may be initiated by referral from partner agencies, and the delivery of many service requests demands a cross-organisational response.

For the public sector, it is these linkages across different service providers that demonstrate the need for supporting systems, in terms of both data and processes, to ensure appropriate services are planned and delivered. Existing CRM and ERP solutions are limited in their reach, as they do not integrate service delivery between partners.

This initiative sets out to address the need for a framework to facilitate cross-organisational environments and processes.

## 12 Formal Launch

Subsequent to the formalisation of the Programme by the Office of the Deputy Prime Minister, and authorisation to proceed a launch event is proposed, involving ODPM, the partners and invited Stakeholders.

Additionally a web site linked to ODPM's National Projects web information to facilitate the communications strategy and for awareness and dissemination raising on progress etc is proposed.

### 13 Summary of Funding Agreements

Each of the partners has engaged in a severe cost cutting exercise, and the removal of a proposed strand, to submit this current proposal.

Strand	Lead	£000s
Programme management	Lewisham	250
Child protection system	Bradford (West Yorkshire Authorities)	1,500
Children with disability	Newcastle	250
Mental health	Shropshire	450
Identification, referral & tracking of children @ risk	Lewisham	750
Promoting the independence of vulnerable older people	Wirral & Surrey/Woking & Bromley	1,485
Integrated housing and benefits	Bromley	700
The generic framework model	Newcastle University, Liquidlogic / EcSoft	500
Learning and evaluation	Newcastle University	100
<b>TOTAL</b>		<b>5,985</b>

## **Appendix 1 - Contact List**

Name	Organisation	Contact number	Contact e-mail
Anita Marsland	Knowsley MBC	0151 443 3439	<a href="mailto:anita.marsland@knowsley.gov.uk">anita.marsland@knowsley.gov.uk</a>
Rod Matthews	Knowsley MBC	0151 443 3816	<a href="mailto:rod.matthews@knowsley.gov.uk">rod.matthews@knowsley.gov.uk</a>
Alan Brown	Bradford MDC	01274 437980	<a href="mailto:alan.brown@bradford.gov.uk">alan.brown@bradford.gov.uk</a>
Steve Batley	Surrey CC/Woking DC	0208 541 7937	<a href="mailto:steve.batley@surreycc.gov.uk">steve.batley@surreycc.gov.uk</a>
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Rob Wilson	Newcastle University	0191 222 5502	<a href="mailto:rob.wilson@newcastle.ac.uk">rob.wilson@newcastle.ac.uk</a>
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Denise Harrison	Liquidlogic	0113 251 5105	<a href="mailto:denise.harrison@liquidlogic.co.uk">denise.harrison@liquidlogic.co.uk</a>
Ted Brierley	Liquidlogic	0113 251 5105	<a href="mailto:ted.brierley@liquidlogic.co.uk">ted.brierley@liquidlogic.co.uk</a>
John Wilkins	EcSoft	020 7355 1101	<a href="mailto:john.wilkins@ecsoft.co.uk">john.wilkins@ecsoft.co.uk</a>
Jon Evans	EcSoft	020 7355 1101	<a href="mailto:jon.evans@ecsoft.co.uk">jon.evans@ecsoft.co.uk</a>
Chris Haynes	ODPM	077677 442 851	<a href="mailto:chris.haynes@odpm.gsi.gov.uk">chris.haynes@odpm.gsi.gov.uk</a>





## Appendix 2 – Programme Management

### London Borough of Lewisham

The London Borough of Lewisham will provide full Programme Management and programme office support for the duration of the project.

This will include:

- the preparation of a Partnership Agreement for all partners,
- the resolution of dispute between partners,
- management of risk and timelines ensuring project end date requirements are met,
- responsibility to ensure the project's products are delivered satisfactorily
- responsibility as "accountable body" i.e. the financial management of the project including preparation of consolidated partnership accounts, submission to the ODPM, the Treasury to meet grant payment requirements,
- preparation of auditable consolidated accounts in compliance with the Audit Commission's requirements.

The Programme Management costs charged to the project will be no more than £250K

## Appendix 3 – West Yorkshire Child Protection System

### City of Bradford MDC

#### Background.

Multi Agency information sharing has historically struggled with the problems of inter-connectivity between multi-variant systems, different degrees of 'confidentiality' over similar data items, lack of standard data definition across agencies etc., etc., etc.

Even with some form of central directive, the implementation timescale to overcome these 'differences', given the quantity, range and number of 'legacy' technologies and systems, would be considerably protracted and financially exorbitant.

Finally, after all of the above 'issues' have been 'solved', we would merely have the capability for cross agency historical reporting.

Many of our individual day-to-day interfaces with our service users are in fact merely one part of a complex service requirement currently being addressed by a number of organisations and a number of professionals within those organisations. The natural communities within each of these organisations are not necessarily co-terminus with the various involved agency boundaries.

#### Introduction.

What is required is a 'client' focussed system that spans all appropriate agencies, irrespective of local agency boundaries, and is configurable for different professions for each type of client interface.

The practicalities of obtaining a single all embracing system for all agencies are a technological nightmare and the likelihood of gaining across the board acceptance is nil.

What is required on each of these systems are additional users, however full access to all services on all systems is non-viable and to 're-program' the individual systems to provide a number of 'new' client subsets of data items is not practical.

The operational systems for the various agencies were implemented, one hopes, as the 'best' for their own particular services and to change these merely to facilitate 'external' agents would be a poor compromise.

The only 'manageable' alternative is to provide a collaborative record containing a real time view of 'agreed' data items from each agency system.

In addition the number of agencies, professionals within those agencies, and the degree and period of involvement could be infinitely variable according to the type of service user interface with those agencies/professionals (i.e. a variable team for each separate service user interface).

#### *West Yorkshire CPS Project Objectives*

At the operational layer we would require a system that can be configured locally (i.e. for each agency and between individual or multiple agencies) for identified ranges of service user interface.

For the Administrative layer we would require a 'central' administrative system, which would be configured to create the appropriate connections to external systems, operate and apply the rule base and privileges. Create transaction files and maintain transaction histories.

Finally, at the technology layer we would require software capable of supporting the above functionality, which can easily and seamlessly be incorporated into a variety of 'virtual' systems as defined by the professional users, i.e. a software platform upon which we can build 'federated applications'.

Using PROTOCOL software as the platform for building federated systems we can concentrate upon the processes required to develop the operational and administrative layer.

These principles and processes will be applied initially within the City of Bradford MDC and will be enhanced, implemented, and formalised within the other Local Authorities and their 'partner' agencies within West Yorkshire, as a natural ACPC cluster, being co-terminus with the West Yorkshire Police Authority and the West Yorkshire Strategic Health Authority.

The ACPC Cluster approach will provide a representative cross section of the national mix of agency configurations thereby enabling deliverables capable of rapid and cost effective implementation in any or all other Local Authorities or their partner agencies.

### **Major Benefits**

For the Child: greater safety because of the highly visible nature of communications between agencies. All will know exactly who is doing what to assess the situation and protect the child.

For the Public: greater confidence that communication and practice issues between agencies is resolved.

For the practitioner: real time information on the progress of a Child Protection assessment across agencies and collation of information for the assessment. Management of case file information electronically. (No misplaced files)

For the manager: standardisation to procedures and notifications/alerts when these are not followed. The need for management intervention is highlighted and the ability to do so is enhanced.

For interagency working: better communication between collaborating agencies, without the need to reorganise. Professionals are supported in their roles. Roles can be developed and the virtual Child Protection Agency can adjust to best practice quickly.

For the Area Child Protection Committee: Case chronologies are developed as normal working practice, and are available quickly to facilitate scrutiny of concerns that arise in any individual case. Speedy "learning the lessons" exercises can be undertaken in advance of "disasters" rather than following them.

For the Council: concrete information that the lead responsibility of the Social Services Department for Child Protection is being discharged properly.

*For the Department of Health and SSI: the possibility of proper and accessible information to inspect performance as a matter of routine, rather than*

*exception. Will assist, for example, in work to develop national standards in child Protection investigations.*

#### *Replicability*

As the project spans 5 separate Local Authority Boundaries and will be managed as a rolling development with each segment 'feeding' the knowledge base for those that follow we will provide solutions for all potential agency mixes and single or multiple implementations which can be applied 'as is' for similar issues and adapted for other issues involving similar problems.

#### *Project Scope*

Simplifying access to the Child Protection Register for those professionals authorised to use it.

Clarifying the referral process into social services from both connected agencies and those outside the scope of the electronic referral system.

Providing a structure for cross agency communication to prevent cases falling between the cracks

Minimise the gaps created by cross boundary flows.

Tracking case progress to enable effective handover of cases between agencies and individuals

Create the infrastructure necessary for identification, referral and tracking of children at risk.

#### *Project Partners*

The West Yorkshire Partnership will encompass the complete range of agencies concerned with Child Protection within the ACPC cluster, which is coterminous with both the West Yorkshire Police Authority and the West Yorkshire Strategic Health Authority and covers the complete range of Health, Police, Education and Social Services interfaces for Child Protection. It will involve in excess of 45 separate partners which encompasses 7 Hospital Trusts, 16 Primary Care Trusts, over 1,000 schools, all of West Yorkshire Police Authority – all of which will be grouped into the 5 separate local authority boundaries for project development and management.

#### **Similar Projects**

Our enquiries have revealed only one project within this area, The London Child Protection Online, and this has adopted a fundamentally different approach by creating and maintaining an additional child protection register and faxing data between professionals.

Similarly The Hull Pathfinder has adopted the data centric approach, using an existing CRM to address the child protection information sharing issues.

Whilst there are areas of commonality regarding the requirements, our approach will build upon the lessons already learned, extend the functionality to provide a common system interfacing directly with current systems rather than common access to a created subset. The system will automatically and electronically transfer information to the various agency computers and provide real time monitoring of all actions to all involved professionals.

More importantly the development will be driven by the focus on the processes that professionals undertake in their use of information to make decisions.

#### *Deliverables*

A complete set of methodologies and toolsets within a diagonal slice of Local Authority configurations, agency mixes and single or multiple implementations which can be applied 'as is' for similar issues and adapted for other issues involving similar problems.

A re-usable framework into which public service providers can 'plug in' a variety of service delivery needs.

The infrastructure necessary for identification, referral and tracking of children at risk

## As part of the national consortia we contribute: -

Proof of transferability of concept across a range of 'real' problems identifiable by most local authorities and other agencies.

Wide-ranging test of methodologies and technologies, which can be 'plugged in' to any scenario

A significant base of practical and working information sharing

Up to 5 practical and operational examples of joined up working

#### *Project Duration*

The proposed project duration is 12 to 14 Months including dissemination until 31<sup>st</sup> March 2004.

## Work Breakdown Structure

### Costs

*The overall costs for the project would be in the region of £2,245,000 of which £745,000 would be contributed by the Partnership leaving £1,500,000 required from central funding.*

Detailed Costs are based upon lowest configuration options.

ACTIVITY	TIME – PERSON MONTHS
Project Management	60
Process Analysis and Definition	50
System Design	35
System Development	35
Testing	20
Staff Training/Development	30
Implementation	50
Evaluation and Dissemination	15
External support	25
<b>Total</b>	<b>320</b>

RESOURCE	COSTS £ 000's
Staff Costs	1,465
Hardware	180
System Software/Licenses	100
Technology Partner	500
<b>Sub-Total</b>	<b>2,245</b>
Local Contribution	-745
<b>TOTAL</b>	<b>1,500</b>

### Cost Benefit Analysis

Using 6%NPV tables for Cost Benefit Calculation in accordance with the "Green Book" requirements shows a return of investment between 2 and 4 years dependant upon the best and worse Sensitivity Analysis paths.



*Risk Analysis*

Risk analysis will conform to Prince2 methodologies and an Initial Risk Assessment indicates that the project is within a low risk range.

# Newcastle City Council

## Aims

The project will develop a reusable framework for multi-agency teams that provide integrated services to children with disabilities. The framework will help to eliminate organisational boundaries and support shared, yet distributed, multi-agency processes. It will streamline the work of teams, improve workflow and communications and will integrate and build upon other system-held information. It will be capable of readily accommodating change as best practice evolves. Integral information sharing protocols will ensure compliance with Caldicott and Information Governance principles. The project will provide:

- Improved service for the child and their family through the visible cohesion of agencies involved.
- An IT solution that is replicable to other local authorities or partner organisations.
- Real time practitioner information. Each care professional knows the current activity and status of the case. Electronic document management ensures no misplaced files.
- Agreed procedures and automatic reminders will help managers comply with standards and service levels.
- Enable citizens to have access to appropriate services

## **Replicability**

The project will produce a re-useable/replicable and affordable framework solution that other public service providers can use for multi-agency work with children with disabilities. This will include adherence to the overarching FAME framework the analysis of methodologies, business processes and workflows.

## **Partners**

Newcastle City Council  
Prudhoe and Northgate Trust  
Newcastle upon Tyne Hospitals Trust  
Newcastle, North Tyneside and Northumberland Mental Health Trust  
Newcastle Upon Tyne Primary Care Trust  
AMASE – Newcastle University  
Liquid Logic

## **Project Duration**

Project will take 12 – 14 months to complete and will end in March 2004.

## Resources

Resource	Cost (k)
Staff Costs	110
Hardware	20
System Software/Licenses	20
Technology Partner	100
Total	250

## Work Breakdown

Project Actions	Partner
Project Management	Newcastle City Council
Local Analysis of Process	Newcastle City Council, Liquid Logic, Prudhoe and Northgate Trust, Newcastle upon Tyne Hospitals Trust, Newcastle, North Tyneside and Northumberland Trust, Newcastle Upon Tyne Primary Care Trust
Produce and Document SSPS Framework	Newcastle City Council, Liquid Logic, Prudhoe and Northgate Trust, Newcastle upon Tyne Hospitals Trust, Newcastle, North Tyneside and Northumberland Trust, Newcastle Upon Tyne Primary Care Trust
Facilitated participatory design phase	AMASE–Newcastle University, Liquid Logic, Newcastle City Council
ICT integration and connectivity	Liquid Logic, Newcastle City Council
Interface design, testing and implementation	Liquid Logic, Newcastle City Council
Training	Liquid Logic, Newcastle City Council
Dissemination	Newcastle City Council, Liquid Logic, AMASE

### Deliverables

- A re-useable/replicable and affordable framework solution that other public service providers can use to support children with disabilities.
- An integrated IT system solution
- Contribution to the overarching project framework

### Risk Analysis

The project will adhere to PRINCE2

### Approach to pilot

The pilot will be developed and implemented in Newcastle by the partners stated above. The project will then be piloted in another local authority to prove and demonstrate that the project can be successfully replicated in public service structures.

# Shropshire County Council

## Description

To develop an operational model which facilitates the sharing of information between Health and Social Care agencies to support the delivery of integrated mental health services in Shropshire. The project will use the 'Protocol' software to create a multi-agency, virtual integrated electronic record for mental health service users.

## Objectives & Outputs

The project will:-

- Provide a secure and trusted means by which health and social care professionals can share information relating to individual mental health service users.
- Support the delivery of integrated mental health services across Shropshire by enabling service user and performance related information to be shared effectively between partner agencies.
- Build upon preliminary work on information sharing that the partner agencies have undertaken.
- Improve the accuracy and currency of information available to monitor and evaluate mental health service provision and facilitate effective joint working and commissioning.
- Demonstrate the practical application of a whole systems approach to mental health services.
- Provide a case study and training materials to support the organisational and cultural changes required to overcome actual and perceived barriers to inter-agency information sharing.
- Assist the partner agencies in meeting other national policy priorities and objectives in particular:-
  - Priorities and Planning framework, 'Improvement, Expansion And Reform'.
  - National Health Service Plan
  - Information for Health
  - National Service Framework for Mental Health
  - National Service Framework for Older People
  - Mental Health Information Strategy
  - Support of Care Co-ordination
  - Identification Referral and Tracking of Children at Risk.

- Provide a framework for information sharing, which can be transferred to other service areas and agencies to assist in the delivery of integrated, person centred services.
- Provide inter-agency information sharing protocols for mental health services.
- Enable each agency to leverage maximum value from existing ICT systems. The control and management of individual systems will remain within the appropriate agency

## Partners

There is a long history of multi-agency and cross boundary working in the county between Shropshire County Council, Telford and Wrekin Council and the Local Health Communities. Integrated Community Health Teams have been operational for 10 years and joint commissioning of mental health services is now well established. Integrated paper based client records have recently been introduced, however, electronic records are still held on separate systems within each agency. The logical next step is to develop integrated electronic records, which can be easily accessed by practitioners in each agency. The following partner agencies:-

Shropshire County Council  
 Telford & Wrekin Unitary Authority  
 Shropshire County Primary Care Trust  
 Telford & Wrekin Primary Care Trust

have therefore endorsed in principle the development of an electronic health and social care record and this particular project is entirely consistent with this aim.

## Project Timescale

- |   |             |
|---|-------------|
| • Appoint Project Manager               | April 03    |
| • Undertake Process Mapping             | May 03      |
| • Develop Information Sharing Protocols | Jun-Sept 03 |
| • Develop & Implement Protocol Solution | Aug-Oct 03  |
| • Practitioner Training                 | Nov 03      |
| • Commence Pilot                        | Jan 04      |
| • Review & Evaluation                   | Mar 04      |
| • Project Rollout                       | Apr-Sept 04 |
| • Dissemination of Lessons Learned      | June 04     |
| • Project Completion Date               | Sept 04     |

### Proof of Concept

The following evaluation criteria will be used to assess the outcomes of the project to determine the impact on the delivery of mental health

services from the perspective of both service users and service providers:-

- Efficiency
- Quality
- Accessibility
- Usability

User participation at all stages of the project is considered essential. Users will be involved in the design of the project, developing information sharing protocols and in evaluating the outcomes of the project. We will undertake snapshot surveys of both staff and service users prior to the pilot commencing, during the pilot and at the end of the rollout period.

## Costs

RESOURCES	OPTION 1 COSTS £ 000's	OPTION 2 COSTS £ 000's
Staff Costs	172	120
Hardware	110	75
System Software/Licenses	60	50
Technology Partner	300	250
<b>Sub-Total</b>	<b>642</b>	<b>495</b>
Local Contribution	-65	-45
<b>TOTAL</b>	<b>577</b>	<b>450</b>

## Bid Value

Option 1 costings are for a countywide project involving all four-partner agencies.

Option 2 costings are for the project to be rolled out within the Shropshire Local Authority area only.

# London Borough of Lewisham

## Project Aims

The Lewisham strand of FAME will develop a model for multi-agency information sharing and joint working for Children @ Risk in line with the ongoing project developments arising from the Children and Young Person's Unit Identification, Referral and Tracking Trailblazer project authorities (London). The project covers all children and young people aged 0-19 living and being educated in the London Borough of Lewisham. It covers a full range of services provided by:

- Local Authority's Education, Housing and Social Care directorates
- Local borough schools
- Local Health Authority Pacts
- Local and Metropolitan Police
- Local Youth Offending Team and Connexions

The strand will contribute and utilise the generic framework, standards and protocols developed within Promoting Independence of Vulnerable Older People and link to the Mental Health and Children with Disability strands to take advantage of the recent award of IRT Trailblazer status to both Shropshire CC and to Gateshead/Newcastle. This strand will also link to the Child protection IRT system in development by Bradford MDC for the West Yorkshire Child Protection strand. In effect this would be the "overview" strand that will prove the replicability of the various FAME strands. The process will:

- Achieve rapid and effective sharing of relevant information between agencies whilst respecting privacy and citizens rights
- Support the delivery of integrated service delivery to Children @ Risk within the borough
- Provide an adaptable and scaleable solution that is replicable to other local authorities and partners
- Enable collaboration in order to provide a co-ordinated and seamless service to the citizen
- Enable citizens to have access to appropriate services
- Reduce duplication of assessment and services
- Provide a 'road map' and workflow that deliver a joint solution

## Replicability

The project recognises the requirement for replicability and shared learning. This will be achieved as:



- Adheres to the overarching project framework, e.g.
  - Standards
  - Process maps
  - Information sharing protocols
  - Organisational change
  
- The production of a software application that can be used by other authorities

Proven through its implementation within all types of Local Authority/Pacts etc. structures.

### List of Partners

- Metropolitan Police
- Lewisham Youth Offending Team
- Lewisham PCT
- South London & Maudsley PCT
- University Hospital PCT
- Lewisham Crime reduction service
- Probation Service
- Local Schools
- Associated Health Organisations
- EcSoft / Liquidlogic or other application provider
- London Borough of Camden IRT }  
} through
- London Borough of Kensington & Chelsea IRT }  
shared
- CYPU IRT North (Knowsley, Bolton & Sheffield MBC) } learning
- South East London eGovernment Services (SELEGS)

### Project Duration

The proposed project duration is 12 to 14 months including dissemination with a project end date of 31 March 2004.

### Resources table

RESOURCE	COSTS £ 000's
Staff Costs	525
Hardware	60
System Software/Licenses	100
Technology Partner	250
<b>Sub-Total</b>	<b>935</b>
Local Contribution	-185
<b>TOTAL</b>	<b>750</b>

## Work Breakdown

ACTIVITY	TIME – PERSON MONTHS
Project Management	12
Process Analysis and Definition	9
System Design	9
System Development	6
Testing	9
Staff Training/Development	9
Implementation	9
Evaluation and Dissemination	6
External support	6
<b>TOTAL</b>	<b>75</b>

### Deliverables

- A documented process definition for **Children @ Risk**
- A functioning and integrated system to support services to **Children @ Risk**
- Feedback to the generic framework
- Feedback to CYPU and Trailblazer authorities

### Risk Analysis

The project will adhere to the PRINCE 2 project management methodology

# Wirral MBC, Surrey County Council & Woking Borough Council and the London Borough of Bromley

## The Aims

To develop a model multi-agency collaborative information sharing solution for joint working to address amongst other issues, independence in the community, quality of life issues, delayed discharge and assessment management to:

- Achieve rapid and effective sharing of relevant information between agencies whilst respecting privacy and citizens rights
- Provide an adaptable and scaleable solution that is replicable to other local authorities and partners
- Enable collaboration in order to provide a co-ordinated and seamless service to the citizen
- Enable citizens to have access to appropriate services
- Reduce duplication of assessment and services
- Provide a 'road map' and workflow that deliver a joint solution

## Replicability

The project recognises the requirement for replicability and shared learning. This will be achieved by:

- Adhering to the overarching project framework, e.g.
  - Standards
  - Process maps
  - Information sharing protocols
  - Organisational change
- The production of a software application that can be used by other authorities, proven through its implementation within all types of Local Authority structures

## List of Partners

- Woking Borough Council
- Surrey County Council
- Wirral MBC
- London Borough of Bromley
- Associated Health Organisations
- EcSoft UK Ltd
- Liquidlogic

### Project Duration

The proposed project duration is 12 to 14 months including dissemination until 31 March 2004.

### Work Breakdown

It is proposed that the two technology partners, the local authorities and their local health service partners jointly analyse the processes of single assessment and delivery of services to enable independence in the community. Wirral will take the lead in the analysing the single assessment process.

Woking and Surrey will follow this up with identifying the potential for widening the service provision within the community. Bromley will contribute to the analysis, including sharing details of the analysis work being undertaken at present as part of the local SAP pilot, to ensure the wider applicability of the information and process models.

Output from the analysis will be documented and an application to facilitate the processes developed by one or both of the two technology partners.

ACTIVITY	TIME – PERSON MONTHS
Project Management	27
Process Analysis and Definition	18
System Design	9
System Development	6
Testing	9
Staff Training/Development	9
Implementation	9
Evaluation and Dissemination	6
External support	12
<b>TOTAL</b>	<b>105</b>

### Resources table

RESOURCE	COSTS £ 000's
Staff Costs	735
Hardware or Managed Service	100
System Software/Licenses	100
Technology Partners	550
<b>TOTAL</b>	<b>1,485</b>

### Deliverables

- A documented process definition

- A functioning and integrated system to support vulnerable people
- A feedback to the generic framework

### **Risk Analysis**

The project will adhere to PRINCE 2

# London Borough of Bromley

## THE AIMS

To support Government aims for housing stock transfers through meeting needs for joined up service delivery to housing and benefits service clients who include many of the most disadvantaged in the community. Housing & benefits represent some of the largest areas of expenditure on local authority services and considerable additional cost and bureaucracy is incurred at present due to unstructured manual processes that support essential service-critical interactions between these services.

Focus areas to be addressed by the project will include, for example, joining-up benefits administration, partnerships with specialist care service providers, review of provision and strategies for housing and care for elderly people, liaison with voluntary services, temporary accommodation etc.

Specifically, deployment will include of multi-agency approaches to services across local authority housing and social care client functions, RSL's, benefits service client units and benefits service contractors; including the matching of requirements with vacancies, checking benefits eligibility and carrying out appropriate checks for suitability of accommodation status checks for benefits.

The nature of this will include:

- effective information sharing whilst respecting privacy and citizen's rights
- an adaptable and scalable solution that is replicable to other local authorities
- collaboration to provide a co-ordinated and seamless service to the citizen
- reduce duplication of information and services
- provide a road map of processes and workflow that defines the solution.
- achieve government targets e.g. e-government 2005

Benefits that will be achieved include:

- Reducing the complexity and inefficiencies of benefit and housing administration for the citizen and administration bodies.
- Promoting better housing and benefit services and better outcomes for citizens
- Providing a common approach to benefits and housing administration information and its exchange

- Showing how local government departments and other agencies can work across traditional boundaries and develop a common approach
- Demonstrating a simple, secure, flexible and cost-effective means of delivering a re-useable model aligned to standards, technology and relevant legislation on confidential data and human rights.
- Developing a blueprint roadmap and toolkit of standards that can be replicated by other local authorities in the arena.

### **Replicability**

The project recognises the requirement for replicability and shared learning. This will be achieved by:

- Adheres to the overarching project framework, e.g.
  - Standards
  - Process maps
  - Information sharing protocols
  - Organisational change
  
- The production of a software application that can be used by other authorities

Proven through its implementation within all types of Local Authority structures

### **List of Partners**

The solution will be developed based on geographical areas involving at least 2 Local Authorities (London Boroughs of Bromley/ Bexley), with relevant Housing Associations & RSL's and Benefit Service agencies responsible for providing benefit.

The local agencies likely to be involved would include : Housing Associations (registered social landlords) Arrears and Lettings teams, Benefit Service Assessors and Local Authority Allocations teams.

National agencies likely to be involved would include: Benefits Agency, Housing Corporation, National Council of the Citizens Advice Bureau, Age Concern

### **Project Duration**

The proposed duration is 10-12 months including dissemination until 31.01.04

### **Work Breakdown**

ACTIVITY	TIME – PERSON MONTHS
Project Management	10

Process Analysis and Definition	8
System Design	4
System Development	3
Testing	4
Staff Training/Development	4
Implementation	4
Evaluation and Dissemination	3
External support	6
<b>TOTAL</b>	<b>46</b>

### **Resources table**

RESOURCES	COSTS £ 000's
Staff Costs	332
Hardware	75
System Software/Licenses	75
Technology Partner	350
<b>Sub-Total</b>	<b>832</b>
Local Contribution	-132
<b><u>TOTAL</u></b>	<b>700</b>

### **Deliverables**

To deliver a multi-agency approach to common services in the area of Housing , Housing Benefits and associated processes providing

- A functional prototype system, including workflow support
- Process maps for the common services
- A roadmap for the rollout of facilities to the sector
- Feed back to ensure the integrity of the overall programme generic framework

### **Risk Analysis**

The project will adhere to PRINCE 2



# University of Newcastle, Liquidlogic and EcSoft UK Ltd

## Introduction

This section describes the work of the generic framework stream. The multi-disciplinary team, which includes a mixture of information system architects, social science researchers, management practitioners and are committed to a formative learning and information architecting approach which encompasses working closely within the programme and with knowledge of existing and emerging technical standards and technologies in mind to deliver outputs such as the development of e-GIF, XML schema, information architectures and supporting tools/approaches/processes and materials required for the implementation of multi-agency information sharing.

## Aims

The generic stream aims to support the FAME project using both a formative and summative approach (dependent on resources and agreement with the programme board). The proposed focus will be on the following areas:

- to explore and analyse with the FAME technology providers and pilot streams to assess the social issues, including political, professional, financial, operational, legal, business and cultural, encountered in multi-agency environments
- to explore and analyse with the FAME technology providers and pilot streams to assess the technical issues being encountered in multi-agency environments
- to derive from these analysis parts of a generic framework leading to the delivery of an overall generic framework supported by an information architecture and a set of tools to support multi-agency information systems procurement (e.g. guidelines), implementation (e.g. infrastructure requirements) and monitoring (e.g. performance criteria).
- to derive from these analysis parts of a generic framework leading to the delivery of an overall generic framework supported by tools/approaches/material to support the production of management information (e.g. IRT), organisational and management change (including guidance on the appropriate formation of roles and responsibilities e.g. Caldicott Guardianship), professional acceptance (e.g. training)

programmes and provision of learning through audit), information sharing/access protocols (e.g. advice on data protection and multi-agency information protocol documentation), project management (e.g. advice on duration of implementations)

## **Replicability**

Use of the knowledge and experience outlined above (and in more detail in the Appendix) will support the FAME project in the development of a generic framework(s) and associated support programme for multi-agency teams providing integrated services in a number of contexts (see streams). The evidence from the generic framework stream will support the development of both the technological solutions within the individual streams and the generic framework final deliverable.

### **The Partner Group**

Led by the team at the University of Newcastle the generic framework stream will work closely with the participants in the project and other external stakeholders as agreed. A key role of programme participants and the generic framework leaders will be to horizon scan for alternative solutions being utilised within the locality or being developed within the wider environment. However, particular emphasis will be laid on the development of applications by technology providers within the project.

### **Project Duration**

It is proposed that the generic framework stream would be initiated at project inception and continues for the full duration of the project.

### **Resources table**

RESOURCES	COSTS £ 000's
University of Newcastle	400
Liquidlogic	50
EcSoft Limited	50
<b>Total</b>	<b>500</b>

### **Breakdown of work**

Using a variety of skills within the team including research and evaluation, understanding of management practice and change management, and the development of system architectures. To this end the development of the generic framework would be undertaken using a mixture of technical and social research approaches through liaison with the technology providers and the pilot sites. Specifically, this will be achieved through a combination of techniques including

progress meetings, observations in laboratory and field settings and document analysis to share experiences within the project, identify, explore and analyse emerging challenges. This will in turn support both the technology providers, individual streams a to learn and reflect on progress.

## **Deliverables**

The generic framework and associated deliverable(s) are central to the programme deliverable. It will contribute to the FAME programme in the following ways:

- provide a generic framework with an appropriate technical and social elements, by which the aim of multi-agency information sharing can be achieved nationally.
- provide a means by which the approaches developed within the FAME programme can be appropriated by other organisations including local authorities, healthcare organisations and voluntary agencies.
- provide examples of applications that have been tested, implemented and are working in the field.
- provide case studies to support learning and dissemination
- provide a set of indicators by which to measure the extent of multi-agency information sharing
- provide a means of understanding the decisions that are taken during the design of services, processes and products

The exact means by which this will be achieved should be dependent on agreement between the programme board and the commissioning body. For instance the delivery of the generic framework will need to fit in with existing modes of delivery established by the wider stakeholders at the DH and OeE.

## **Risk analysis**

The main risks to the delivery of the generic framework and associated documentation are delays in the delivery of technology solutions to the field and the delays in the implementation of the technical solutions in the field.

# University of Newcastle

## Introduction

The University of Newcastle, Social Informatics research group is based across a number of research centres at the University including the Business School, Centre for Urban and Regional Development Studies and the Centre for Software Reliability. One of its key research interests is multi-disciplinary and multi-organisational working. In a number of its projects seeks to address the organisational, managerial, regional policy and technical ICT challenges involved in delivering joined-up services in situations where multiple services offered by different agencies have to be provided in varying configurations to a variety of client groups.

The multi-disciplinary team, which includes a mixture of social scientists, management practitioners and information system architects are committed to a formative learning and evaluation approach which encompasses working closely with the commissioning body and programme participants in a flexible way to deliver continuous learning and evaluation outputs that are required. The team seeks to explore through evaluation to find out what works, for whom, why and in what context. It will achieve this using the principles of a learning evaluation, which seeks to support learning throughout the duration of a project.

## Aims

The learning, research and evaluation stream aims to support the FAME project using both a formative and summative approach (dependent on resources and agreement with the programme board). The proposed focus will be on the following areas:

- to evaluate the processes and procedures carried out by the various parties/projects in the programme to identify cases of good practice
- to offer expertise and basic research capacity to support the objectives of the programme
- to support the development of the parts of the programme by carrying out formative evaluation of the projects
- to build upon the work and experience of the ODPM E-Govt evaluation to develop FAME specific performance indicators
- to examine the impact on services, professionals work practices and citizens of the new services

- to assist in the development of the deliverables and wider dissemination of the findings relevant conferences, articles and training programmes.
- to provide summative evaluation of the programme

## **Replicability**

Use of the knowledge and experience outlined above (and in more detail in the Appendix) will support the FAME project in the development of a generic framework(s) and associated support programme for multi-agency teams providing integrated services in a number of contexts (see streams). The evidence from the learning and evaluation stream will support the development of both the individual streams and the generic deliverables. Findings will be both formative and summative.

Formative findings presented through learning workshops and forums will provide opportunities to establish baseline measurement criteria, to share experiences within the project, identify and validate emergent themes. This will in turn support both the streams (pilot projects) and the programme to learn and reflect on progress. Summative findings will focus on the development of indicators and support the delivery of a multi-agency integration framework deliverable.

### **The Partner Group**

Led by the team at the University the learning and evaluation stream will include all participants in the project and other external stakeholders as agreed.

### **Project Duration**

It is proposed that the learning and evaluation stream would be initiated at project inception and continues for the full duration of the project. Additional dissemination activity could also be advantageous after the project end to develop appropriate supporting material for the implementation of the generic framework.

### **Resources table**

RESOURCES	COSTS £ 000's
University of Newcastle	100

### **Breakdown of work**

Using a variety of skills within the team including research and evaluation, understanding of management practice and change management, and the development of system architectures. To this

end the evaluation would be undertaken using a mixture of qualitative and quantitative approaches including focus groups, interviews, workshops, observations, questionnaires and document analysis.

These methods would be applied using an evaluation framework proposed in the table below:

<i>Evaluation techniques</i>	<i>Document Analysis</i>	<i>Surveys</i>	<i>Learning Workshops/ Forums</i>	<i>Interviews/ Focus Groups</i>	<i>Baseline Measurements</i>
<i>Products/ Outcomes</i>					
<i>Software</i>	X	X	X	X	X
<i>Protocols and Standards (e-Gif)</i>	X	X	X	X	X
<i>Implementation, dissemination and change management</i>	X	X	X	X	X
<i>Indicators</i>	X	X	X	X	X

## **Deliverables**

The learning and evaluation deliverable is the keystone of the programme deliverable. It will contribute to the FAME programme in the following ways:

- provide a final evaluation report for the FAME project
- provide a series of workshops to disseminate the findings and opportunities for stakeholders to learn to use the tools/materials generated by the project
- provide a website portal which will be a repository of materials (including case studies based on the streams) to support learning and dissemination
- provide a set of indicators by which to measure the extent of multi-agency information sharing
- provided by the project including case studies and the generic framework.
- provide a website portal which support a network to provide the means by which initially streams can learn purposefully from each other and later share experiences with those using the FAME tools.

- to provide evidence of what the programme has achieved and learned
- provide an objective view of both the individual streams and overall programme and its' achievements

The exact means by which this will be achieved should be dependent on agreement between the programme board and the commissioning body. For instance the delivery of the generic framework will need to fit in with existing modes of delivery established by the wider stakeholders at the DH and OeE as well as ODPM.

### **Risk Analysis**

The main risk to the conduct of such an evaluation is a lack of access and openness from the project participants. However, using a learning evaluation approach means that problems and the means by which stakeholders overcome them become part of the development and learning process.

### **Key projects**

*ODPM (DTLR) - E-Government Evaluation* project aims to establish how local authorities are approaching the task of implementing electronic local government, which approaches to implementing electronic local government work best in which contexts and why do they work and how can progress measured in the implementation of electronic local government.

The study has a number of research elements including an intensive strand of in depth case studies of individual authorities. An extensive strand using data from surveys, official statistics and IEG statements. Validation workshops with knowledgeable informants from local government, technology and systems suppliers and independent academics. A Review of the emerging literature on e-government at the local level. Data from each of these sources will be synthesised to create a coherent theory of e-government implementation, models of the implementation process and improved performance indicators.

*EPSRC – Advanced Multi-Agency Service Environments (AMASE)* project aims to establish whether a more rigorous approach to service architecture, based on brokerage, is able to alleviate some of the severe difficulties of integrating the information and communications systems needed to support the delivery of public services.

This is being carried out through work in six pilots, which encompass a range of electronic local government, social care and health activities. This includes the procurement of a Regional Smartcard and the development of a strategic approach in Children's Services incorporating a full-integrated information strategy. The study uses



action research and ethnographic approaches to understand the challenges facing strategic and front-line workers in the delivery of joined-up working. Management theory approaches to understand the issues of change management inherent in the move towards more integrated working practices at both group and organisational level. The use of system development methodologies including participatory design where the team seek to develop ideas with stakeholders (including front-line workers, managers and system suppliers) about integrated working practices and information and communication architecture techniques to represent systems which are grounded in work practices and realistic on a larger scale as part of infrastructure. The Business School team at the University of Newcastle have demonstrable experience in a variety of domains including health, social care and the voluntary and private sector.

*NHS Information Authority ERDIP programme Durham and Darlington Electronic Health Record project* particular concern was to encompass and account for the professional and ethical concerns of clinicians and other care providers, and the corresponding concerns to patients, clients, families and carers, about the exchange and sharing of critical and sensitive information. We are creating illustrations of the rationale and configuration of appropriate 'organisational architecture' (encompassing elements of structure and process, but also policy, professional ethics, public concerns, and the like) and the possible resulting organisational and technical solutions. In other words, we are not primarily or exclusively concerned with information requirements and technology. We want mainly to understand what health and social care professionals are doing and will do in providing services to patients, and what their intentions are in providing these services. Future work is being planned including the path to procurement and implementation.

*Department of Health, Information for Social Care Demonstrator programme, Virtual Electronic Social Care Record (VESCR) project*. The team are part of a group including Newcastle Social Services and Scientia Solutions, which have a project as part of Information for Social Care demonstrator programme. Within this programme there is a stream seeking to explore the issues of electronic records. The particular aims here are to develop and implement the electronic social care record, electronic records management, including aspects of archiving and/or sustainability of access to records, developing and implementing of the social care core data sets and support the single assessment process. The Virtual Electronic Social Care record (VESCR) team are using Participatory Design and Ethnographic techniques to understand and represent the needs of the stakeholders involved in the project in order to create a demonstrator which supports the Social Service team who will use the software, the requirements of the

corporate body represented by Newcastle Social Services and the commercial imperatives of system suppliers. A key challenge emerging from the participatory design are the issues surrounding communications and information sharing with other agencies including health, police and education. It was thought by the partners in the project that a Knowledge Management approach could provide a flexible means to supplement existing systems. The only requirement to implement the demonstrator would then be access to existing intranet technology and integration to existing client index systems and databases.

MAYOR AND CABINET

4 JUNE 2003

APPENDIX 2

ITEM NO. 13

Dated

2003

BETWEEN

THE MAYOR AND BURGESSES OF THE LONDON BOROUGH OF LEWISHAM

AND

*[PUT IN LIST OF OTHER PARTNERS HERE]*

.....  
PARTNERS AGREEMENT RELATING TO DELIVERY OF *[INSERT NAME OF PROJECT]*  
.....

DRAFT SF 4.4.03

HEAD OF LAW  
LONDON BOROUGH OF LEWISHAM  
TOWN HALL  
CATFORD

LONDON SE6 4RU

THIS AGREEMENT is made the \_\_\_\_\_ day of \_\_\_\_\_ 2003

BETWEEN

THE MAYOR AND BURGESSES OF THE LONDON BOROUGH OF LEWISHAM (1) of Town Hall, Catford, London SE6 4RU (hereinafter referred to as "Lewisham") and

MAYOR AND BURGESSES OF *[INSERT PARTNER NAME]* of *[insert address]*, (hereinafter referred to as "[ ]") (2)

WHEREAS:

- A. The *[insert identity of funder]* ("the Funder") has agreed to provide funding to Lewisham through the *[insert name of funding stream]* for a project called *[insert name of project]* ("the Project") and has placed certain conditions on that funding. Lewisham has informed the Funder that it will carry out the Project with the assistance of partners, of whom [ ] is one.
- B. The partners in the implementation of the Project at the date hereof comprise the Parties to this Agreement and
- Mayor and Burgesses of [*add in names of all other local authority Partners*] of [ ]
  - Mayor and Burgesses of [ ] ("*[ ]*") of [ ]
- C. The Partners all have duties to provide services to their residents; powers to take actions conducive to the discharge of those functions; and have powers under section 2 of the Local Government Act 2000 Part 1 to do anything considered likely to achieve the promotion or improvement of the economic, social or environmental wellbeing of their area.
- D. In the light of those powers and duties, and given the wish of Government and of the parties to use information better, to build services around citizen's choices and to make government and services more accessible, the Parties hereto now wish to enter into this agreement.
- E. Lewisham will be entering into agreement in the same form as this Agreement with each of the Partners ("the Partners Agreements")
- F. The purpose of this Agreement is to enable the Partners to *[set out here the overall purpose of the Project - eg (this was LEAP) - collaborate by sharing skills, knowledge and workload, to minimise duplication and to use technology in order to use*

*knowledge management to improve service provision to customers of the partners in relation to particular life events*] and thus to deliver the Project.

IN CONSIDERATION of the commitments entered into by the Parties (which shall be taken to include any permitted or statutory successors or assigns of either of them) as set out below,

IT IS AGREED AS FOLLOWS:

1 Definitions

“the Associated Partner” or “the Associated Partner” means any partner who is not a local authority and includes any Associated Partner which enters into a Partners Agreement in the future under the procedure set out herein

“ the audit requirements” means such requirements as may be made for audit purposes as set out in the Bid or made by the Funder or Lewisham

“the Bid” means the bid made to the Funder by the Lead Borough for funding for the Project and which informed the Funder of the detail of the Project and the way in which the Project would be delivered

*consider if this is necessary* - “the document management system” means the system controlling all documents posted to the web repository which is managed by *[insert name]* and which is to be accessible at *[insert]*

*consider if this is necessary* - “evaluation reviews” means those evaluation reviews as referred to in the Bid which are to take place after the end of the Project

“the financial regulations” means the financial procedures to be required of the partners as set out in the Bid or made by the Funder or Lewisham

“the Funding” means  
money to be provided by  
the Funder

“the Funding Requirements”  
means the requirements  
made by the Funder as a  
condition of providing the  
Funding

“Intellectual Property Rights” means all  
intellectual property rights including without  
limitation copyright, database rights,  
trademarks, service marks and patents, and  
including all rights of a similar nature  
conferred by laws in force in all other parts  
of the world

“Lead Borough” means Lewisham

“new Partner” means any partner joining the  
Project after the date of this Agreement

“The Partners” means the parties listed at B  
above (and thus includes the Parties) and includes any  
new partner or partners, but excludes any associated  
partners

“Partner Agreement” means an agreement between  
Lewisham and any other Partner in the same form as this  
Agreement

“Party” or “Parties” means the parties to this  
Agreement

*consider if this is necessary* - “project management procedures”  
means those procedures set out in the bid to the  
Funder for funding for the Project, amended as

*consider if this is necessary* - “project oversight”  
means the Lewisham guide as referred to in the Bid

*consider if this is necessary* - “the Programme Board”  
means the advisory group as set out in clause 7  
hereof

*consider if this is necessary* - "the Project Board"

means the advisory group as set out in clause 8 hereof

*consider if this is necessary* - "the Recording Requirements"

means the requirements which the parties have agreed to meet or will agree to meet in the future in relation to the recording of time and expenditure spent

*consider if this is necessary* - "the Software Standards"

mean those software applications and methodologies specified by Lewisham

## 2. The Agreement

- 2.1 The parties agree to act in accordance with this Agreement, with the conditions attached to the funding and with the representations made in the Bid and to each commit a minimum of £[*put in figure*] over the period of this Agreement on fulfilling those obligations
- 2.2 Nothing in this Agreement shall constitute a legal partnership between the partners or the parties.

## 3. Duration

This Agreement will terminate on [*put in date*] subject to extension by agreement between the parties.

## 4 Obligations of the parties

The parties agree to do the following:

### 4.1 Representatives

- 4.1.1 appoint a representative to attend the Programme Board who shall be a senior officer of Assistant Director level or above and who shall be responsible for the delivery by the party of its obligations under this Agreement
- 4.1.2 appoint a representative to attend the Project Board, who shall be the officer responsible for the delivery of the day to day performance of the party's obligations under this Agreement ("the Project Manager")
- 4.1.3 appoint a deputy if they wish, to perform the duties of the Programme Board member or the Project Manager.

### 4.2 Recording, reporting, accounting and audit

- 4.2.1 take such steps as are necessary to comply with the funding requirements and the Bid and in particular to
- 4.2.2 ensure proper local accountability and full and transparent audit trails in the local administration of the Project and follow the Recording Requirements, the audit requirements, the financial regulations, the document management system, the Software



Standards, the project management procedures, the evaluation reviews and the project oversight

4.3 Performance

4.3.1 **[IS THIS NEEDED?]** carry out the tasks assigned to them from time to time as set out in the Schedule of tasks contained in Schedule 1 to this Agreement (which Schedule may be amended by Lewisham subject to the agreement of [ ] and each such amendment to be taken as an amendment to the Schedule 1 of this Agreement)

4.3.2 assist the Lead Borough in the discharge of its obligations hereunder and under the Bid

5. Obligations of the Lead Borough

In addition to its other obligations hereunder, the Lead Borough shall be responsible for:

5.1 accounting for the funding

5.2 allocation of the funding

5.3 all other obligations placed upon it under the terms of the Bid

5.4 the delivery of the Project (to include making recommendations as to purchase and use of software applications, maintenance of records, mapping, development and use of a web-based repository and uniform mapping methodology **Alan note difference to last time; make recommendations not make decisions**)

5.5 considering properly all recommendations from the Programme Board (including in relation to decisions taken under 5.2 above)

5.6 to take such steps as are reasonable to enforce Partners Agreements other than this Agreement for the benefit of other partners.

6. Obligations of Associated Partners **[ARE THERE ANY IN THIS PROJECT?]**

6.1 If it is decided to admit an Associated Partner or Partners to the Project, Lewisham will arrange with the Associated Partner that in consideration of the Partners agreeing to an Associated Partner or Partners being admitted to the Project, the Associated Partner

agrees to give to the Partners including the Parties, a non-exclusive licence to use for the purpose of carrying out their functions in perpetuity any product created by the Associated Partner in connection with the Project or used in connection with the Project and will do everything reasonably necessary to ensure that a Partner may enjoy such licence including without limitation the execution of any documents which may be necessary. This licence will not expire on the termination of the Project for whatever reason.

## 7 Programme Board

The Programme Board shall:

- 7.1 consist of a representative from each of the Partners
- 7.2 make recommendations to the Lead Borough in relation to all questions relating to the delivery of the Project (including decisions as to *[INSERT HERE LIST OF IMPORTANT DECISIONS EG purchase and use of software applications, maintenance of records, mapping, development and use of a web- based repository and uniform mapping methodology]*)
- 7.3 meet not less than bi-monthly
- 7.4 be chaired by the representative from the Lead Borough
- 7.5 suggest to the Lead Borough the appointment of a Programme Manager (who shall not be a Project Manager) to manage the Project
- 7.6 take decisions by majority vote with the Chair having a casting vote (save in relation to recommendations on subjects covered by clauses 4.3.1, 9.2 and 19 hereof when the decision shall be taken following a vote of the Partners where two-thirds of the Partners agree to make the change)
- 7.7 make arrangements for and ensure the proper recording of meetings of the Programme Board
- 7.8 Consider reports from the Project Board and make advisory recommendations on them to all Partners.

## 8. Project Board

The Project Board shall:

- 8.1 consist of the Project Managers and the Programme Manager (who will be Chair) and any other individual as agreed
- 8.2 meet monthly
- 8.3 Prepare written reports for submission to the Programme Board meetings

## 9. Changes in membership

9.1 New Partners

New Partners may be admitted to the Project subject to the new Partner entering into an agreement in the same form as this Agreement (including a Schedule of tasks appropriate to the new Partner) and after the admission of the new Partner has been considered by the Programme Board and any advice of the Programme Board has been considered by Lewisham

9.2 Associated partners

Associated Partners may be admitted to the Project subject to the Associated Partner entering into an agreement in the same form as this Agreement (including a Schedule of tasks appropriate to the Associated Partner) and after the admission of the Associated Partner has been considered by the Programme Board and any advice of the Programme Board has been considered by Lewisham

9.3 Withdrawal of a Partner or Associated Partner

A Partner or Associated Partner may withdraw from the Project by giving three months written notice to Lewisham (who shall inform the Programme Board of that event) on condition that they:

9.3.1 take such continuing part in the Project as is in the view of Lewisham necessary (and who shall take into account any advice from the Programme Board) in evaluation reviews *[are these relevant in this project?]* whenever they take place

9.3.2 has delivered full performance of such of its obligations under this Agreement which were due up to the date of withdrawal or has made arrangements with the remaining Partners and Associated Partners for the performance of any such obligations left unperformed up to the date of withdrawal (such arrangements to provide as necessary for the financial compensation of any Partner or Associated Partner taking over the obligations of the departing Partner or Associated Partner or for other financial consequences of departure)

9.3.3 has made arrangements with the remaining Partners and Associated Partners for the performance of such of their obligations under this Agreement which were due to be performed after the date of withdrawal (such arrangements to provide as necessary for the financial compensation of any Partner or Associated Partner taking over the obligations of the departing Partner or Associated Partner or for other financial consequences of departure)

9.4 Termination of membership

If [ ] fails to perform or to perform adequately any element of the Project (which shall include defective or negligent performance), and if the matter is not resolved by the Dispute procedure, Lewisham can decide to terminate the

membership of [ ] in the Project after the issue has been considered by the Programme Board and any advice of the Programme Board has been considered by Lewisham.

10 Intellectual property rights *[This needs considering entirely]*

10.1 The Parties acknowledge that the Project is to be delivered by ***[Consider if appropriate]*** the development of data, datasets and procedures for using that data ("the Project products"), and that the information contained and the procedures for using such information has been supplied and created by the parties and that it is essential for the achievement of the Project that all the Partners and any Associated Partners agree in the same terms

10.2 The Parties agree:

10.2.1 to hold the intellectual property rights over the Project products jointly between them

10.2.2 that decisions about the use or exploitation of the Project products shall be made by Lewisham after that decision has been considered by the Programme Board and any advice of the Programme Board has been considered by Lewisham

10.2.3 that the Parties grant to each other and to each of the other Partners a non-exclusive non-transferable royalty free licence to use the data, datasets and the Project products for the purpose of the Project only, and will do everything reasonably necessary to ensure that any Partner may enjoy such licence including without limitation the execution of any documents which may be necessary. This licence will expire on the termination of the

Project for whatever reason, unless renewed by written agreement. The Parties acknowledge that this provision (in particular) of this Agreement is intended to and will operate to confer a benefit pursuant to the Contracts (Rights of Third Parties) Act 1999 on the Partners other than the Parties

10.2.4 that if [ ] withdraws from the Project or is no longer a Partner following the termination or expiry of the Project, [ ] hereby agrees that [ ] and Lewisham and the Partners may continue to use the Project products developed by [ ] during the course of involvement of [ ] in the Project, but that [ ] will not be entitled to the benefit of the licence set out in 10.2.3 from the date of their departure from the project.

## 11. Disputes

- 11.1 All disputes (including those relating to performance) between the Partners (including between the Parties to this Agreement) and with Associated Partners shall be referred to the Lead Borough, which shall make a decision on the disputed matter having first obtained and considered the views of the Programme Board
- 11.2 If the dispute is one involving the Lead Borough, the Programme Board shall select a Partner to consider the dispute and advise on the appropriate action and in the event of the Programme Board being called on in this way, the Programme Board shall be chaired by a Partner other than the Lead Borough.
- 11.3 If the dispute cannot be settled in this way, the Parties agree that they may go to mediation.

## 12 Default

- 12.1 In the event of a Party failing to perform or failing to perform adequately any element of the Project or this Agreement, the Party in default will bear the cost of fulfilling that element of the Project to a satisfactory standard.

## 13 Indemnity

Each Party shall indemnify the other and shall indemnify other Partners in relation to any loss or damage arising out of any defective or negligent performance by themselves or any subcontractor of the tasks referred to or linked in any way to the Project or out of non performance.

## 14. Confidentiality

- 14.1 The Parties and their subcontractors shall not use the any information obtained by them as a result of their involvement in the Project for any purpose other than for their involvement in the Project without the prior written consent of Lewisham which shall make a decision on the matter having first obtained and considered the views of the Programme Board

- 14.2 The Partners, Associated Partners and subcontractors individually undertake that they:-

14.2.1 shall not (save where required by law) disclose to any third party in any form the contents of any document, records, data or any other information whatsoever or any parts thereof relating to the Agreement or the Project or any part thereof or to any Partner, Associated Partner or subcontractors which it may acquire during the performance of the Agreement or involvement in the Project without the prior consent in writing of Lewisham which shall make a decision on the matter having first obtained and considered the views of the Programme Board

14.2.2 shall keep safe at all times all equipment, software, hardware, documents, data, papers or any other information or materials whatsoever placed in its possession for the purposes of the Agreement or the Project

## 15 Enduring clauses

Clauses 10 (IPR clause), 9.3 (withdrawal of a party), 11 (Disputes), 9.2.1 (obligation to cooperate with evaluation reviews), 12.1 (default costs) and 14 (Confidentiality) shall survive the termination of this agreement or the departure of a Party from the Project.

## 16 Assignment and subcontractors

16.1 No Party shall, without the prior written consent of Lewisham which shall make a decision on the matter having first obtained and considered the views of the Programme Board (such consent not to be unreasonably withheld or delayed) *contradictory?* assign or otherwise transfer partially or totally its rights and obligations under this agreement EXCEPT THAT Lewisham may assign such rights or obligations if it first obtains and considers the views of the Programme Board.

16.2 A Party may discharge some or all of its obligations under this Agreement by employing a subcontractor if the party first obtains

- 16.2.1 written agreement from the subcontractor to the relevant parts of this Agreement; in particular
- clause 14 (Confidentiality);
  - clause 6.1 (Obligations of Associated Partners), subject to the substitution in that clause of the name of the subcontractor for "Associated Partner";

16.2.2 written confirmation from the subcontractor of their agreement not to breach the intellectual property rights of the Partners and Associated Partners

16.2.3 written confirmation from the subcontractor that all intellectual property rights will belong to the party who will hold them under the terms of this Agreement.

## 17 Force Majeure

Upon the occurrence of an event of Force Majeure (which shall include without limitation acts of God, acts of government, strikes, lockouts, fire, acts of war, terrorism and related matters) which are beyond the control of the Parties and which cause the cessation of or substantial interference with the performance of the Project, the duty of the Parties to perform their respective tasks shall be suspended until such circumstances have ceased. If after a period of three months it has not been possible to re-instate the Project then this agreement will be deemed to have terminated.

19 Termination

- 19.1 The Parties may by agreement terminate this agreement.
- 19.2 In the event of a termination under this clause, [ ] will cooperate with Lewisham in discharging all and any obligations to the Funder.
- 19.3 In the event of there being any disagreement as to the actions required on termination, Lewisham shall decide on the matter having first obtained and considered the views of the Programme Board.

20 Variation

The terms of this Agreement may be varied by the Parties by agreement and the terms of the variation must be recorded in writing.

AS WITNESS THE HANDS OF THE PARTIES HERETO

Signed for and on behalf of .....  
Lewisham Authorised signatory

In the presence of  
Name: .....  
Position: .....

Signed for and on behalf of .....  
[ ] Authorised signatory

In the presence of  
Name: .....  
Position: .....



SCHEDULE 1

SCHEDULE OF TASKS TO BE UNDERTAKEN BY THE PARTIES

*[IS THIS NEEDED?]*

Dated.....

MAYOR AND CABINET

4 JUNE 2003

APPENDIX 3

ITEM NO.

13

<p>LOCAL e-GOVERNMENT NATIONAL PROJECTS -</p> <p>MEMORANDUM OF ASSOCIATION BETWEEN</p> <p>LONDON BOROUGH OF LEWISHAM AND THE FIRST SECRETARY OF STATE</p>
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**Memorandum of Association Contacts**

	<b>Name</b>	<b>Phone number</b>	<b>e-Mail Address</b>
<b>National Project contact</b>	Alan Davies	020 8314 6376	<a href="mailto:alan.davies@lewisham.gov.uk">alan.davies@lewisham.gov.uk</a>
<b>ODPM contact</b>	Chris Haynes	020 7944 3336	<a href="mailto:chris.haynes@odpm.gsi.gov.uk">chris.haynes@odpm.gsi.gov.uk</a>

**Intentions of the National Project**

1. The National Project will use its best endeavours to achieve the performance milestones specified in Schedule 1 and agreed between the First Secretary of State and the Project.
2. The local authority leading the National Project and its local authority partners will complete satisfactory Implementing Electronic Government Statements (IEG). The First Secretary of State may withdraw National Project status from lead or partner authorities that fail to complete satisfactory IEGs by the required deadlines.

# **The Intentions of the ODPM**

3. Special Grant Report no.121 provides the First Secretary of State with powers to pay grant to specified local authorities to support the development, running and sharing of knowledge of National Projects, in order to achieve the milestones set out in schedule 1.
4. The First Secretary of State will put in place mechanisms to support the programme of National Projects, including the Local e-Government team, use of the [www.localgov.gov.uk](http://www.localgov.gov.uk) website and the potential appointment of a support agent.

## **The National Project**

5. By “National Project” this MOA means the lead authority and the partner organisations involved in the National Project.
6. The National Project will achieve the outcomes set out in Schedule 1 to this MOA.
7. If the National Project does not make satisfactory progress against the agreed milestones without justification, subject to discussions with the National Project, the First Secretary of State may require that another authority takes over lead responsibility for the National Project and/or that one or more of the partners to the project be replaced.
8. The National Project will give the First Secretary of State one (1) months notice of its intention to withdraw from the scheme.

## **Roll Out**

9. The National Project will participate in the national roll out programme. Specific tasks will include, but not be limited to:

- Attendance/speaking at national Local e-Government events;
  - Promoting National Project learning more widely; and
  - Support for other local authorities through, for example, hosting visits.
10. In developing and managing their website, the National Project will ensure it is in line with any guidance issued by ODPM and that it is compatible with, and links to, the [www.localgov.gov.uk](http://www.localgov.gov.uk) website.
11. The National Project will provide the First Secretary of State with monitoring data quarterly on the roll out activity in the progress reports – including visits, conferences spoken at, attendance at events organised locally, local authorities' implementation of National Project products and guidance.
12. The National Project leader or a suitable deputy will attend regular meetings with ODPM to ensure the programme is co-ordinated.

## **Finance and Monitoring**

13. The National Project may only claim for expenditure (via the lead authority) that will be incurred on the National Project by itself (or a partner organisation claiming through it).
14. The expenditure is for capital purposes as defined in section 40 of the Local Government & Housing Act 1989 (including expenditure which, is treated by the authority as capital expenditure by virtue of a direction under section 40(6) of the 1989 Act).
15. Grant is paid subject to the receipt of satisfactory PIDs, grant claims, progress reports, and to the National Project making satisfactory progress against the agreed milestones.
16. The National Project (via the lead authority) must provide such further information as required by the First Secretary of State to determine whether they have met the conditions set out in this MOA.
17. If the National Project fails to use the grant in respect of relevant expenditure, or fails to comply with any of these conditions, then the First Secretary of State may require the repayment of the whole or any part of the grant monies paid to the authority, as may be determined by the First Secretary of State and notified in writing to the authority. Such sum as has been notified shall immediately become repayable to the First Secretary of State.

18. The first instalment of the grant will be paid subject to the National Project (via the lead authority), no later than 23 May 2003, providing the First Secretary of State with a signed copy of this MOA, a satisfactory Project Initiation Document (which has been agreed by the National Projects Panel) together with the agreed schedule of milestones and targets (Schedule 1 to this MOA); and a claim (on the form provided by the First Secretary of State) for expenditure of up to £25,000 incurred in developing the business case and any further expenditure incurred by the national project up to 31 March 2003.
19. The second instalment of the grant will be paid subject to the National Project (via the lead authority) no later than 11 July 2003 providing the First Secretary of State with a satisfactory quarterly progress report against the milestones (in schedule 1 to this MOA), and no later than 17 October 2003 providing the First Secretary of State with a satisfactory quarterly progress report against the milestones (in schedule 1 to this MOA), together with a claim (on the form provided by the First Secretary of State) for the expenditure incurred on the project for the period 1 April 2003 to 30 September 2003.
20. The third instalment of the grant will be paid subject to the National Project (via the lead authority): no later than 16 January 2004, providing the First Secretary of State with a satisfactory quarterly progress report against the milestones (in schedule 1 to this MOA); and no later than 16 April 2004 providing the First Secretary of State with a

satisfactory quarterly progress report against the milestones (in schedule 1 to this MOA) together with a claim (on the form provided by the First Secretary of State) for the expenditure incurred on the project from 1 October 2003 to 31 March 2004.

21. The National Project (via the lead authority) shall ensure that information provided to the First Secretary of State on actual expenditure is certified by an auditor appointed by the Audit Commission by 30 September of the financial year following the final grant payment to the authority. The auditor is to forward the certificate along with a copy of the grant claim forms submitted to the ODPM by no later than 30 December of the same financial year.

22. It will be for the National Project's Board to agree the distribution of resources between partners, within the overall budget allocated. The lead authority will inform the First Secretary of State of the details of this arrangement.

### **Intellectual Property Rights**

23. The National Project must share learning with all local authorities and public sector organisations. The authority may make an appropriate charge to cover costs of organising open days, seminars etc.

24. Where the National Project is developing particular products, for example software applications or training programmes these must be made available to other local authorities at a cost to be agreed between the authority and the First Secretary of State. Separate agreements will be developed as and when appropriate to cover the dissemination and exploitation of products and services arising from the National Projects.

### **Technical standards**

25. The National Project will ensure that the any of its products and outcomes meet the technical requirements set out in the latest

published version of the E-Government Interoperability Framework and other relevant Government standards.

## Monitoring and Evaluation

26. The National Project will provide a satisfactory Project Initiation Document (PID) by 23 May 2003, using the Prince 2 template provided with this MOA.
27. The National Project will provide satisfactory quarterly progress reports against the milestones set out in Schedule 1 to this MOA by 11 July 2003, 17 October 2003, 16 January 2004 and 16 April 2004 respectively.
28. Any further information required by the First Secretary of State will be normally provided within ten working days of the request.
29. The authority will develop their own internal monitoring systems to complement reports to the First Secretary of State.

## Publicity

30. The authority is encouraged to publicise the National Project and its experiences. The National Project must make reference to the Local e-Government Programme in any press releases (etc.), and send a copy to their ODPM contact and the support programme manager at least 24 hours before publication.

	<b>For the National Project:</b>	<b>For the First Secretary of State:</b>
<b>Signature</b>		
<b>Name and position</b>	Rob Whiteman, Executive Director for Resources and Deputy Chief Executive,  London Borough of Lewisham	

<b>Date</b>	23 <sup>rd</sup> May 2003	
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**ANNEX C**

**PRO-FORMA FOR PROJECT MILESTONES**  
**(Schedule 1 to the MOA)**

Milestone	Date to be Completed	Grant expenditure Incurred (where applicable)
PID approved by ODPM	6/06/2003	£0
Procurement of Technology Partners	9/06/2003	£10,000
Appointment of Internal LA Project Staff	9/06/2003	£20,000
Detailed Business Specification Signed off	15/08/2003	£1,250,000
Hardware procurement	26/09/2003	£510,000
Local staffing costs	30/09/2003	£1,185,000
<b>Total Anticipated Grant Expenditure by 30 September 2003:</b>		<b>£2,975,000</b>
Information-sharing framework developed and technical build completed	20/12/2003	£250,000
System licences	31/12/2003	£445,000
System Implemented	31/12/2003	£1,050,000
Local staffing costs	31/03/2004	£1,215,000
Project evaluation & learning completed	31/03/2004	£50,000
<b>Total Anticipated Grant Expenditure from 1 October 2003 to 31 March 2004:</b>		<b>£3,010,000</b>
<b>Total Anticipated Grant Expenditure for the entire Project:</b>		<b>£5,985,000</b>

**Notes**

This form should be completed and posted to your ODPM contact along with the MOA. You should agree the milestones with your contact before they are submitted.



## ODPM LOCAL E-GOV NATIONAL PROJECTS [CAPITAL]:

**SPECIAL GRANT REPORT NO. 121 CAPITAL FUNDING****Local e-Government National Projects: 2002-2004**

Request for payment for period: [ Sept 02 – Mar 04]

National Project Name	FrAmework for Multi-agency Environments
Name and address of Authority responsible for management of funds	London Borough of Lewisham Town Hall Catford London SE6 4RU

Total requested Capital allocation from the ODPM in <u>this</u> claim form.	£ 25,000
Forecast Expenditure for <u>next</u> 6 monthly claim	£2,975,000
Forecast Total Expenditure for the National Project	£5,985,000 (excluding business case funding)
Date project is due to be completed:	31/03/2004

Details of person we should contact should we require further information:	Name: Alan Davies
	Tel No: 020 8314 6376
	e-mail: <a href="mailto:alan.davies@lewisham.gov.uk">alan.davies@lewisham.gov.uk</a>

Please complete and return **BY POST**  
to:

**Glynis Hailes-Morley**  
Office of the Deputy Prime Minister  
**Local Government and Modernisation  
Division**  
Zone 3/F6, Eland House  
Bressenden Place  
London SW1E 5DU  
Tel 020 7944 8762  
Fax 020 7944 4994  
E-mail:  
[Glynis.Hailes-Morley@odpm.gsi.gov.uk](mailto:Glynis.Hailes-Morley@odpm.gsi.gov.uk)

## CERTIFICATE OF CHIEF FINANCIAL OFFICER

To the Accounting Officer, Office of the Deputy Prime Minister

I understand that this grant is paid to provide support to my authority for its Local e-Government National Project. I also understand and agree to the conditions attached to this funding and which are set out in the Memorandum of Association between my authority and the First Secretary of State.

To the best of my knowledge and belief the figures shown in this claim are correct and that expenditure has been or will be exclusively incurred for the purposes of grant as set out in the Memorandum of Association between the National Project (via the lead authority) and the First Secretary of State.

Please pay this authority the sum of :	£25,000 please quote ref: LB ATTA 4101 on remittance
--	---

Signed on behalf of the organisation by the Chief Financial Officer:

Signature	
Name	Rob Whiteman Executive Director for Resources and Deputy Chief Executive
Date	23 <sup>rd</sup> May 2003
Telephone number	020 8314 6376

### Notes

The available grant for the National Project is set out in the Annex A to Alexi Bouras' letter of 12 March 2003 to project managers.

### Key conditions of grant (for information only)

- The authority may only claim for expenditure that will be incurred on the National Project by itself (or a partner organisation claiming through it).
- The expenditure is for capital purposes as defined in section 40 of the Local Government & Housing Act 1989 (including expenditure

which, is treated by the authority as capital expenditure by virtue of a direction under section 40(6) of the 1989 Act).

- Grant is paid subject to the receipt of satisfactory PIDs, grant claims, and progress reports and the National Project making satisfactory progress against milestones.
- The authority shall ensure that information provided to the First Secretary of State on actual expenditure is certified by an auditor appointed by the Audit Commission by 30 September of the financial year following the final grant payment to the authority. The auditor is to forward the certificate along with a copy of the grant claim forms submitted to the ODPM by no later than 30 December of the same financial year.
- The authority is to provide the First Secretary of State such further information as may be required by him for the purposes of determining whether it has complied with these conditions.
- If the authority fails to use the grant in respect of relevant expenditure, or fails to comply with any of these conditions, then the First Secretary of State may require the repayment of the whole or any part of the grant monies paid to the authority, as may be determined by the Secretary of State and notified in writing to the authority. Such sum as has been notified shall immediately become repayable to the Secretary of State.

### Bank Details

Please provide details of an existing account for which payments from ODPM have already been/are being received into:

<b>Account Name</b>	LONDON BOROUGH OF LEWISHAM MAIN INCOME ACCOUNT
<b>Name of Bank</b>	CO-OPERATIVE BANK
<b>Bank Address</b>	HEATON HOUSE 151-155 LEWISHAM HIGH STREET LONDON SE13 6AA
<b>Account Number</b>	61073843
<b>Sort Code</b>	08-90-29

If you do not have an existing account receiving payments from the ODPM or wish payments to be made into a new account, then please complete sections 1,2,4 and 7 of the attached ASP 7B form.

**PLEASE NOTE: The setting up of new accounts takes 2-3 weeks, the form should therefore be returned promptly.**

MAYOR AND CABINET		
Report Title	THE VICTORIA CLIMBIÉ INQUIRY - IMPLICATIONS FOR LEWISHAM	
Key Decision	YES	Item No. 14
Ward	All	
Contributors	EXECUTIVE DIRECTOR FOR SOCIAL CARE & HEALTH	
Class	Part 1	Date: 4 JUNE 2003

## 1. Purpose of the Report

- 1.1 To highlight issues for Lewisham arising from the audit all local authorities were required to return to the Department of Health at the end of April 2003 following the Laming Inquiry into the death of Victoria Climbié. The completed Victoria Climbié Audit Tool for Lewisham is at Appendix 1.
- 1.2 To propose a dataset for reports to Mayor and Cabinet relating to the provision of services to safeguard children in Lewisham. It recommends a timetable for receipt of these reports. It outlines the potential resource implications for improving services to meet the rigour of audit against the Department of Health's tool for assessing current practice and planning for children in need.

## 2. Summary

- 2.1 Victoria Climbié, a child of eight, died as a consequence of extreme cruelty perpetrated by her great aunt and her aunt's partner. The subsequent inquiry into her death, known as the Victoria Climbié Inquiry, is expected to provide an 'enduring turning point' in the protection of children in Britain.
- 2.2 This report provides qualitative and quantitative data on the current status of provision of services to children in need and their families, indicating areas of strength, as well as those where performance requires improvement. Likely resource implications are identified.
- 2.3 The report identifies the key issues arising from Lewisham's completion of the Victoria Climbié Audit. The single greatest risk identified in safeguarding children in Lewisham is the significant

problem of recruitment and retention of social work staff. Data in relation to this issue is provided.

### **3. Recommendations**

- 3.1 That the Mayor and Members of the Social Care and Health Select Committee be kept fully informed by receipt of detailed twice yearly reports in relation to child protection, services to children in need and children looked after, and by exception reporting of specific incident or developments.
- 3.2 That a members seminar be arranged to further assist understanding of the key developments and tensions in the delivery of services for children, and in particular of safeguarding children, and to further understand their accountabilities in relation to these children.
- 3.3 That representations be made to central government in relation to the extremely difficult current position in the recruitment and retention of social workers in this area of work.
- 3.4 That the Mayor agrees to receive a further report in September with firm proposals about ways to support the resourcing of children's services in order to redress the concerns referred to in this report. Specifically, these will be in relation to the current market for social work staff, both in the immediate and longer term, and improving systems and strategies for improving management information and quality.
- 3.5 That the report in September also include proposals for corporate support to bolster services for children in need and at risk.

### **4. Narrative**

- 4.1 Local authorities, health trusts and the police have all been required to complete an audit of their practice in safeguarding children. The Lewisham audit will form part of the star rating assessment of Social Care and Health in the autumn. The local authority was audited against seven standards:

1. Referral
2. Assessment
3. (Case) Allocation, Service Provision & Closure
4. Guidance
5. Training and Development
6. Organisation and Management
7. Governance

4.2 The Lewisham audit was completed against the seven standards and 68 criteria. The tool is complex, and description of each criteria within the body of the report would be unmanageable. For ease of reading, the principle issues arising from the audit are listed here, with commentary on each to follow. References to the audit tool are provided in parentheses after each issue. All seven listed issues are those where improvement or change is required.

1. Recruitment and retention of social work staff at all levels
2. Increased audit and monitoring requirements
3. Review and update of procedures
4. Training
5. Enhanced information requirements for managing the work
6. Governance arrangements

Following discussion of the issues raised, an analysis of the data provided within the text and within the appendices is given.

## 5. The Issues

### 5.1 Recruitment and retention of social work staff at all levels

5.1.1 Lewisham, in common with most London boroughs and other authorities nationally, is experiencing significant problems in the recruitment and retention of social work staff at all levels. This leads to subsequent pressures on case allocation for vulnerable children, (*Ref:3.2.3, 3.2.4*). The audit places increased expectations of direct work with children in assessing their needs, with the subsequent impact on social work and management time. (*Ref:5.1, 5.5, 6.1, 6.4, etc*). The audit further specifies that the work of assessing children's needs must be undertaken by a 'suitably qualified, trained and experienced social worker'.

5.1.2 Current staffing in relation to our three main provider services of social work to children and their families is shown at Appendix 2. As indicated, we are highly dependent on agency staff to cover vacancies. However, the situation is such that the supply of staff through agencies is also reaching a critical point, and we are no longer able to rely on the agencies to fill our vacancies on a temporary basis.

5.1.3 There are a number of initiatives underway to address this problem:



- recruitment from overseas (Canada in the first instance)
- trainee schemes
- attendance at recruitment fairs
- open recruitment

5.1.4 However, this is set against the current competition in relation to salaries and general remuneration for social work staff at all levels, between London authorities. A review of current pay for social work staff in Lewisham is underway. This is, however, a broader, pan London issue that can only be fully addressed by closer co-operation between the responsible authorities. There is evidence to suggest that since the publication of the Climbié report, competition for staff with the relevant qualifications and competencies is becoming more intense. It is recommended that the Council considers making representations to central government, as pressure on recruitment is now reaching a critical level.

## 5.2. Increased audit and monitoring requirements

5.2.1 There is significant emphasis placed on the monitoring of all procedures and actions; indeed a score of four (high) against any of the criteria within the audit requires a description of how this rate of performance is monitored. The Lewisham audit tool returned four (of 68) criteria with a four score (*Ref: 5.2, 6.1, 7.2.2, 7.3.2*). These were in relation to:

- Individual personal development planning
- Supervision of social work staff working with children in hospital
- The development of a workforce strategy
- Clarity of lines of accountability between frontline staff, service providers and the Director of Social Services

5.2.2 Greater rigour will be introduced into the audit and monitoring of the work undertaken within the Children & Young People's Division. Significant attention is paid to the quantitative performance of the division against performance indicators. It is, however, qualitative data, in addition to the key performance data that provides the critical detail of threshold for intervention in families that is required to manage these services across all agencies. A programme of case file audits by senior managers has been arranged. This approach will be strengthened.

5.2.3 This is particularly crucial at a time when the threshold for eligibility for services is raised due to the critical staffing problems. The Identification, Referral & Tracking (IRT) trailblazer will

contribute to the process of close examination of these issues and the development of practical and workable solutions.

5.2.4 A proposal to review the role of the Child Protection & Care Planning Manager and the service area within the post's control is currently being considered within the framework of the review of the restructuring of Children's services which took place in 2001. The current service responsibility is to lead on child protection for the Directorate, to maintain the child protection register, to chair and manage systems for the review of cases of children on the child protection register and looked after, and to provide advice and consultation across the Council and to other agencies in relation to child protection.

5.2.5 This proposal introduces an explicit 'quality assurance' role within the Children & Young People's Division, with concomitant management authority to identify and alert the Departmental and Executive Management Teams and members to strengths and weaknesses in practice across the Council. Additional resourcing is required in order to develop this function within the Division. While additional resources will be required in terms of funding to increase the staffing to this service, there is expertise within the Council that could also be utilised particularly in respect of development of audit and standards and performance management systems.

5.2.6 There is further potential for addressing these same issues with partner agencies in relation to children at risk, and to drive up practice standards and performance across Lewisham.

### **5.3 Review and Update of Procedures**

5.3.1 An issue of paramount importance arising from the results of the audit is that of procedures.

5.3.2 The Children & Young People's Division child care manual requires revision, in light of changes through restructuring (New Start, June 2001) and changes in legislation and guidance since its introduction in 1999. Procedures and guidance in this area are complex and dynamic, dependent on changes in legislation and regulation which is a significant component of contemporary children's social work. This requires a designated postholder to maintain, audit and regulate the introduction and maintenance of adequate procedures.

### **5.4 Training**

- 5.4.1 There is a significant need for additional training across all areas of the Council in relation to child protection. This may be run internally, or through the interagency framework provided by “Working Together”, statutory guidance for agencies involved with adults and children, with responsibility for child protection.
- 5.4.2 Internally, all staff who may have contact with or knowledge about families, or children or adults who are parents or carers, should receive child protection awareness training. Staff from Housing, Education, Adult services, Regeneration, front line and support staff should all receive training suitable to their role.
- 5.4.3 A start has been made in the training of front line staff across the Council, to meet the first standard from recommendation 39 of the Climbié Inquiry:
- “All front line staff within local authorities must be trained to pass all calls about the safety of children through to the appropriate duty team without delay, having first recorded the name of the child, his or her address, and the nature of the concern. If the call cannot be put through immediately, further details from the referrer must be sought. The information must then be passed verbally and in writing to the duty team within the hour.”*
- 5.4.4 A pilot scheme introducing a new procedure for front line staff who may receive a call regarding concern about a child is to be run at the end of May. Following this, all front line managers will receive half day briefings in July, which will be followed with a briefing pack for cascading the information to their staff.
- 5.4.5 Externally, the Area Child Protection Committee (ACPC) has the lead responsibility for inter-agency training for child protection. Participating agencies, and contributions where appropriate are:

Agency	Contribution £
Housing	0
Education	11.5k
Social Care & Health	11.5k
Lewisham PCT	15
Metropolitan Police	5k
Probation	1k
University Hospital Lewisham	
Barnados (voluntary organisation rep)	

SLAM	
CAFCASS	

5.4.6 This budget is to fund all functions of the ACPC, plus the development and delivery of a significant inter-agency child protection training plan. This budget is insufficient to cover these requirements.

**5.5 Enhanced information requirements for managing the work for children in need and at risk**

5.5.1 There is reference within the tool (*Ref: eg. 1.2.1, 1.3*) to areas where collection of management information requires further attention. The identified problem traverses three related domains:

1. Quality of data input and verification – currently weak
2. System upgrades in order to collect required data –  
requiring enhancements to current SWIFT system
3. Capacity to input the data ie. need for increased business  
business support to input, and then verify the data (ref: KPMG  
systems report, May 2003)

5.5.2 There is a systems link with corporate ICT issues and e-governance, the introduction of electronic file systems, and other major projects such as Identification, Referral and Tracking (IRT).

**5.6 Governance Arrangements**

5.6.1 The audit tool makes explicit the requirement to formally report activity in relation to children’s services to the Chief Executive and Executive Members. (*Ref: 7.4.2, 7.6, 7.7, 7.8*) Reports on children’s services have been provided to members; however, these tend to be in the form of briefings on specific issues and cases or in relation to roll-up data on performance on key indicators.

5.6.2 This report proposes, therefore, to report performance formally to Mayor & Cabinet and Social Care & Health & Lifelong Learning Committee using the following data set:

1. Children on the child protection register (including trends)
2. Numbers of children on the child protection register with  
an allocated social worker

3. Numbers of children's cases in care proceedings – applications made by the authority for intervention court (including trends)
4. Staffing – vacancies and grades
5. Numbers of looked after children (including trends)
6. Numbers of looked after children with an allocated social worker
7. Number of children assessed as children in need and allocation
8. Number of contacts and referrals

5.6.3 Some data in relation to the above is found at appendices 2 to 4. The section on analysis provides some explanation in relation to this data.

5.6.4 There is potential to achieve a better understanding of the issues involved, including the 'professional language' of children in need and at risk. It is therefore proposed to hold a seminar which will assist members to be clearer about their responsibilities and accountabilities in this area, and contribute members' knowledge in relation to the issues raised in the context of this report, and future reports on this subject.

## **6. Analysis of the data**

### **6.1 The child protection register (Appendix 3)**

The data shows that there has been a significant decline in numbers of children in the child protection register from 2000 -2003.

6.2 This decline had been attributed to an increase in the number of care proceedings and subsequent removal of children from the child protection register as the case progressed through the courts. However, the trended data does not support this. The graph at Appendix 3 compares the number of children on the child protection register, children looked after and care proceedings for 2000 – 2003. This suggests a direct relationship between the increase in looked after children and the decline in

registrations. However, early indications of the London trend (not yet published) for children on child protection registers suggests that this is not the case, and that the explanation is more complex.

6.3 This is under investigation by the Child Protection & Care Planning Manager and the Public Health Directorate of the Primary Care Trust. The findings of this analysis will be reported at a later date.

6.4 Numbers of children on the child protection register with an allocated social worker (ref: 3.2.3)

The current position is one that is of considerable risk to both children and to this authority. The extremely difficult position in relation to recruitment of suitably qualified social workers has resulted in an as at position of 22 May 2003 of 34 children on the child protection register being unallocated to a social worker. The position at return of the audit 30 April 2003 was 19 unallocated children. The rise in numbers is due to the recent increase in numbers of applications in care proceedings for children (ref: 3.2.3). Allocation of children on the child protection register is a key performance indicator, and a statutory requirement.

6.5 Care Proceedings (Appendix 3)

Care proceedings are court proceedings for children who have or are likely to suffer 'significant harm', children who require the safeguard of a Court Order. Care proceedings generally confer parental responsibility to the local authority – these children are 'looked after children' for whom the Council becomes the Corporate Parent, with many statutory responsibilities to plan, review and provide for their current and future needs.

6.6 The Family Support & Intervention Service works with children on the child protection register and children in care proceedings. With current staffing levels the management choice is stark: allocation of children on the child protection register against allocation of children in care proceedings. The Council is vulnerable to criticism and challenge within the public court arena if children subject of care proceedings are without an allocated key worker. It is a statutory requirement to allocate a keyworker to children on the child protection register. Children who are unallocated may be exposed to further significant harm. Currently, all cases of care proceedings are allocated, with the resultant unallocated position of children on the register as reported above, at 34 children.

## 6.7 Children Looked After (Appendix 3)

On a three year trend, the number of looked after children has risen in line with national statistics.

## 6.8 Percentage of children looked after with an allocated social worker

There was an improved position reported within the audit with 100% allocation of looked after children as at 31 March 2003, although current allocation is slightly reduced. A recent push on recruitment of agency staff and particularly unqualified staff, supervised by managers, to the Permanence Service has improved our ability to allocate all cases.

## 6.9 Staffing, recruitment and retention (Appendix 2)

The difficulties associated with this issue were discussed earlier in the report. In summary, 42.5% of social worker posts are either covered by agency staff or uncovered and vacant, and 27% of first line management posts are in the same position.

## 6.10 Contacts and Referrals (Appendix 4), Initial and Core Assessments, Child Protection Investigations

The Intake, Assessment & Hospital Service receives all first contacts which may then become referrals to the division. Referrals require specific social work intervention and decision making at practitioner and manager level about whether an initial assessment, a child protection investigation or fuller ('core') assessment is required. It is at initial assessment that the Victoria Climbié Inquiry, and the subsequent audit, highlighted the need for more detailed and direct work with children at this stage of the process. Current capacity could not meet these requirements, even with full staffing.

6.11 This service currently has 42 unallocated initial referral referrals of children awaiting an assessment, a further 42 core (full) assessments, and 11 child protection investigations. This, too, represents very high risk to children and the authority.

6.12 The tasks required on the unallocated cases are those identified in the Climbié report as requiring suitably qualified, trained and experienced social work staff

## 7. **Financial Implications**

- 7.1 The report points to a number of areas where the necessary change will have financial implications. In most cases the detailed planning is not complete enough to identify the cost and work is ongoing to identify the cost and business case. The financial context is that Children's Services underspent its salary budgets in 2002/03, largely due to recruitment difficulties, but this was offset by a significant overspend on placement budgets.
- 7.2 The recruitment and retention difficulties have implications both in terms of maintaining the current position, ie. paying agency fees, and the cost of moving forward. The directorate has a dedicated fixed term post to work exclusively on social work recruitment and the initiatives that flow from this add to the general recruitment cost. The review of social worker pay (para 4.4.3) is considering the sensitivity of permanent recruitment to pay, along with the potential costs of higher pay levels.
- 7.3 A number of relevant business cases are currently being considered by the directorate management team. In particular in relation to:
- funding backfilling to release unqualified staff for training,
  - reviewing business systems & support to change the social work: support balance and to ensure accurate and timely information,
  - electronic,
  - social care records,
  - data analysis capacity.

## **8. Legal Implications**

Child Protection services are provided by Local Authorities pursuant to the duties and powers provided by the Children Act 1989, the provisions of which have been confirmed as being compatible with the Human Rights Act 1998. The Act is accompanied by volumes of statutory guidance and regulations, two of which are "Working Together to Safeguard Children" and the "Framework for the Assessment of Children in Need and their Families".

- 8.1 Following the death of Victoria Climbié, an inquiry chaired by Lord Laming looked at the circumstances of her death and the failure of the inter-agency child protection framework provided for by "Working Together".



- 8.2 The report from that inquiry made 108 recommendations to provide for a more tightly- knit and robust model of inter-agency working, with particular emphasis upon the Corporate responsibility, at the highest levels, of Local Authorities for the efficiency and effectiveness of their child protection services.
- 8.3 As part of the post - inquiry work, an audit of child protection performance by the Police, the Commission for Health Improvement and the Social Services Inspectorate has been undertaken, the results of which will be fed into a joint report, to be published shortly.
- 8.4 As part of the audit process, Social Care and Health have analysed their performance against the audit criteria, which includes statutory requirements as to the conduct and structure of the child protection service, including issues of record keeping, case management, staffing and quality control.
- 8.5 In some areas, there are failures in statutory duties to children for whom the Local Authority are responsible. These failures, where they occur, constitute a breach of statutory duty towards children who may thereby suffer harm. Statutory service failure renders the Council vulnerable, with potentially serious consequences, and liable for challenge not only in terms of the costs of a successful claim, but in terms of the risk management of cases concerning children at risk of significant harm.
- 8.6 Having undertaken the audit, members should consider carefully what the results reveal about the difficulties being experienced in their own child protection services, and what reasonable steps should be taken to remedy, or manage, the shortfalls, some of which could be considered to be beyond the immediate control of the Council.
- 8.7 As this audit is carried out within the remit of the SSI, members should be aware of the standards imposed by the Department of Health through that Inspectorate, and of the requirements to perform to an acceptable minimum standard. The Department has the power to impose special measures upon those departments it regards as failing in their statutory duties. Services to children in need and those at risk of significant harm in any Local Authority's area is now firmly identified as an issue of Corporate responsibility.

## **9. Equalities Implications**

- 9.1 All children in need in Lewisham must be afforded the opportunity to grow up safely, in the absence of abuse. Black and ethnic minority children are over represented in the 'looked after' population of Lewisham's children.
- 9.2 Research has shown that parents from black and ethnic minority communities access help later, when problems are more intractable. Lewisham has commissioned the South Bank University to undertake research into the over-representation of black and ethnic minority children within its looked after population. This will be reported to Committee on publication.

## **10. Crime and Disorder Implications**

- 10.1 Child abuse is a crime. The protection of children is a significant concern, and has been included as a priority in the National Policing Plan. The local police child protection unit investigated 516 reported crimes against Lewisham children (specifically, child abuse and neglect) in the 12 months March 2002 – 2003. There is an active South London Police & Social Services Steering Group for child protection, to which Lewisham provides a joint Chair. This well established group meets bi-monthly and has considered the joint implications of the Climbié Report.
- 10.2 Recently, links between the Area Child Protection Committee and the Crime Reduction Board have been successfully introduced.

## **11. Environmental Implications**

None.

## **12. Conclusion**

- 12.1 The position in relation to recruitment and retention of social work staff is the most critical issue arising from the conduct of the audit. This impacts on the ability of the Council to carry out its statutory functions in relation to safeguarding children.
- 12.2 Close monitoring of the position in relation to performance and quality of services to children, including the review of thresholds for access to services, and at other significant points of decision making in case work for children is critical. Reports to the Council regarding performance are required in order for the accountability issues discussed in this report to be fully addressed.

## **13. Reason for Urgency**

This matter has not been included in the Council's Forward Plan. However, the decisions must be taken by such a date that it is impracticable to defer them until it has been included in the next Forward Plan. The reason for this is that, in the light of the Laming Report and the Audit returned by the Department of Health, it is very important that the Council takes action on the key issues identified as soon as possible. In accordance with the provisions of Regulation 15 Local Authorities (Executive Arrangements)(Access to Information) Regulations 2000 written notice has been given to the Chair of the Overview & Scrutiny Business Panel that the decision will be made.

## BACKGROUND PAPERS

None

For further information on this report please contact Catherine Duffy, Child Protection & Care Planning Manager on 0208 314 8290

## List of Appendices

Appendix 1 Victoria Climbié Audit

Appendix 2 Staffing/Vacancies as at 30 April 2003

Appendix 3 Numbers of children looked after, children on CPR, care proceedings, 2002 – 2003

Appendix 4           Numbers of contacts and referrals to Intake,  
Assessment and Hospital Service

Date Last Accessed 27/05/03 14:53

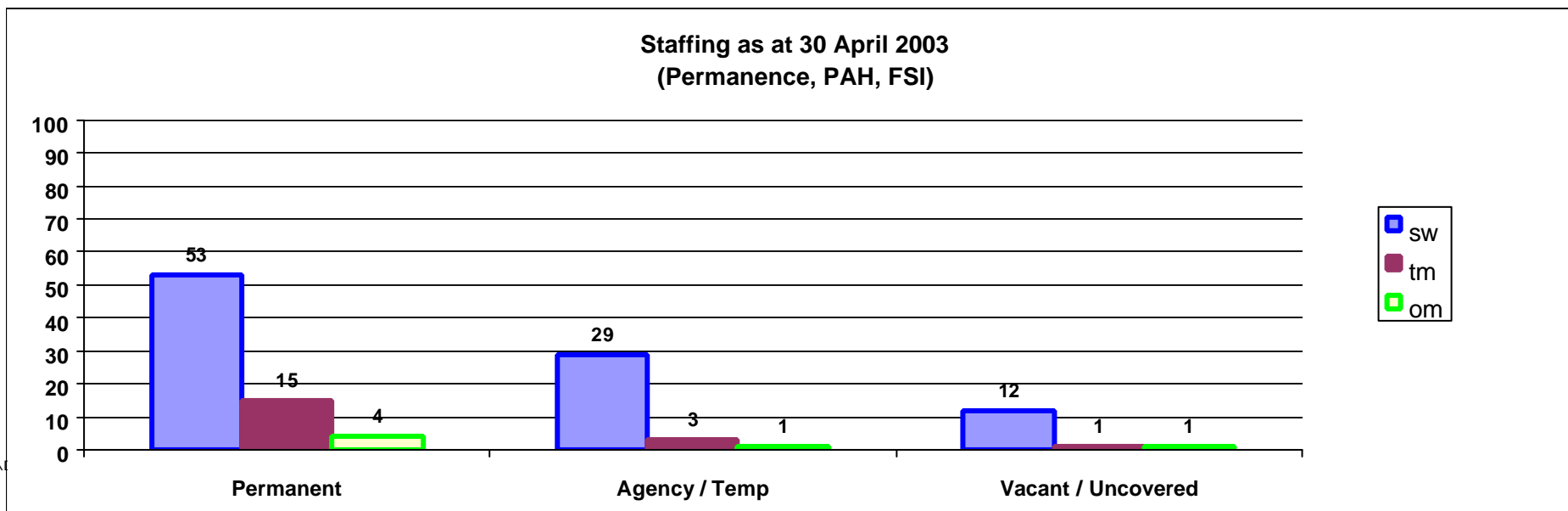
Date Last Updated 07/05/03

Name of data source if not Business Objects report out of SWIFT Catherine Duffy

Staffing Figures (as at 30th April 2003)

Permanence, PAH, FSI

	Permanent	Agency / Temp	Vacant / Uncovered
sw	53	29	12
tm	15	3	1
om	4	1	1



**Children and Young People's Services  
Management Information (CDuffy)**

**Appendix 3**

Date Last Accessed 27/05/03 16:40  
Date Last Updated 07/05/03

**Comparison of Numbers of Children on the Child Protection Register. CLA & Care Proceedings between April 1st 2000 and March 31st 2003**

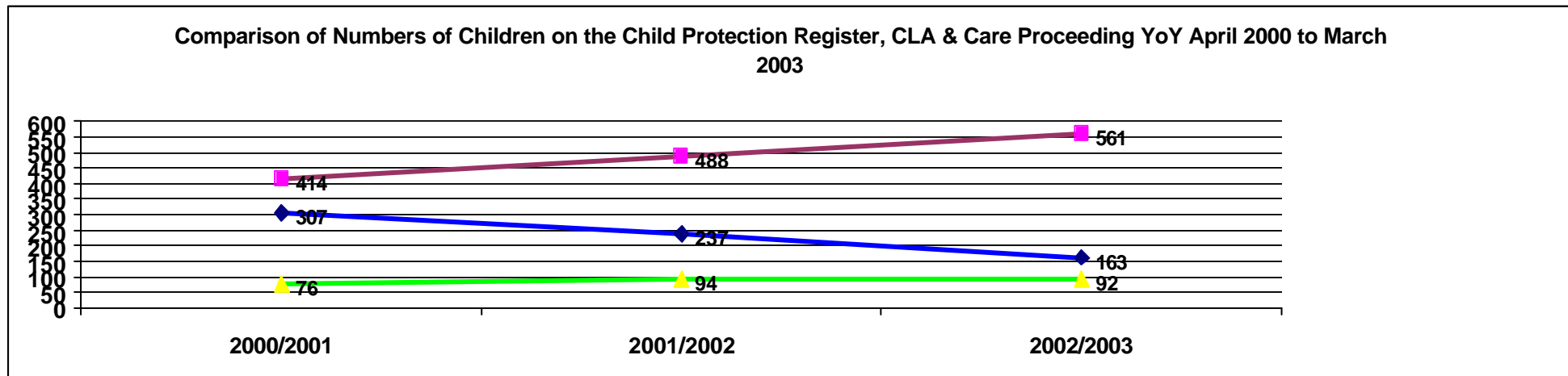
Name and location of Business Object report from SWIFT that produces this data

G:\BO5\Children & YP\Performance Indicators\Child Protection\PI86 (QP 2.3.5) Allocations for Children on CPR

Name of data source if not Business Objects report out of SWIFT

Care Proceedings figures - Emma Hudson/Catherine Duffy

	2000/2001	2001/2002	2002/2003
No. on CPR (as recorded in SWIFT as at 31st March)	<b>307</b>	<b>237</b>	<b>163</b>
No. on CLA (as recorded in SWIFT as at 31st March)	<b>414</b>	<b>488</b>	<b>561</b>
Care Applications	<b>76</b>	<b>94</b>	<b>92</b>



**Children and Young People's Services  
Monthly Management Information Requirements**

**CATEGORY:** Contacts, Referrals and Assessments  
**DEFINITION:** No. of Contacts & Referrals (MoM)

**Appendix 4**

Indicator Ref **Mthlv Mamt Info.**

Date Last Accessed **28/05/03 16:32**

Date Last Updated **23/05/03**

Last Updated By **Wendy Tuxford**

G:\BO5\Children &  
YP\Assessment  
Teams\contacts

Name and location of Business Object report from SWIFT that produces this data

2002 - 2003	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Avg. per Mth	Total for Year
Total no. of Contacts for month	495	580	491	615	456	497	542	491	449	581	480	486	514	6163
Total no. of referrals for month	181	227	153	270	197	221	218	168	154	215	173	178	196	2355

