

Report to: **Audit and Best Value Scrutiny Committee**

Date: **12 June 2007**

By: **Director of Adult Social Care**

Title of report: **Business Transformation Programme Progress Report**

Purpose of report: **To update the Audit and Best Value Scrutiny Committee on the progress of the Programme and the Management of Risk**

RECOMMENDATION:

The Audit and Best Value Scrutiny Committee are recommended to note the progress of the Business Transformation Programme to date and the Management of Risk.

1. Financial Appraisal

1.1 This report refers to the £4m funding approved through the Council's capital bidding process as part of Reconciling Policy and Resources to resource the major part of the Programme. During 2006/07 £1.85m was spent from the budget. Efficiency savings identified to date are £1.7m with a further £0.3m expected in 2008/09.

1.2 The current Programme budget is attached at **Appendix 1**.

2. Background and Supporting Information

2.1 The programme contains multiple projects focussed on delivering key objectives to enhance our service to customers and ensure that we have efficient and effective back office support. The programme provides a systems platform across the whole programme to enable flexible and efficient working.

2.2 The programme is, by its very nature complex and requires major change in systems, the way people work and the culture of the department.

2.3 The programme is now being managed in four phases. Phase 1 has been completed. The delivery within Phase 1 was, however, scaled back from what was originally intended. This followed consideration of the potential risks of implementing all of the proposed changes and need to ensure contingencies were in place to address any potential impact on customers or business continuity. Attached at **Appendix 2** are details of what has been delivered in Phase 1 and the key issues that have contributed to delays in some elements of the programme.

2.4 Phase 2 implementation comprises the following: -

- Payments module of Abacus
- An integrated client detail/care package system with bespoke funding approval and monitoring called Service Approval System
- Debt management on Abacus
- Atlas, the mobile solution for financial assessments
- Interfaces to SAP

Although these elements were initially planned to be part of Phase 1, this work is expected to be completed by August 2007. Due to the interdependency of the different work streams the deliverables within both Phases 1 and 2 are contained together in **Appendix 3**. This also contains details of contingency plans.

2.5 Phase 3 implementation comprises the following:

- Contract management system
- All systems interfaces
- Full data convergence with a closed loop system architecture.

It was expected that these elements of the programme would be delivered in 2007/08 and further details are attached at **Appendix 4**.

2.6 Phase 4 is the operational stream, this comprises the review of Social Care Direct, care management and reviewing processes. This work will also support the development of a strategy for assessment and care management. This work will be implemented incrementally through 2007/08 and future years as was originally planned.

2.7 The impact of taking a more incremental approach to implementation has not affected customers because existing systems have been retained or contingencies developed to maintain current processes, where this has been required. In relation to the changes in home care services these are now being taken forward in line with the original objectives with customers moving to new providers or with arrangements being made for them to receive Direct Payments.

3. Risk Management

3.1 The Management of Risk continues to be a key area within the programme controlled in a robust manner with reports to each monthly Board meeting. The complexities of multiple projects which are intrinsically linked means that these projects require a significant level of control over issues and potential risks that may arise with escalation to the appropriate authority.

3.2 Currently each project manager maintains an issue and risk log associated to their project which is updated on a regular basis. This is then consolidated by the Programme Co-ordinator who then reviews these risks and issues with the individual project managers on a weekly basis, including any mitigating actions. Any urgent problems are escalated to the Programme Manager to be dealt with. On a day to day basis the Heads of Service Programme Group resolve issues as they arise on the implementation of the back office changes. **Appendix 5** sets out details of the risks reported to the meeting of the Board in May 2007 and the actions which are being taken to mitigate those risks.

3.3 The risks flagged as red in the log have the potential to delay implementation. The log is reviewed to focus resources on critical issues, enable resolution and ensure contingencies are in place, if required, to prevent adverse impacts on customers and business continuity.

4. Conclusion and Reasons for Recommendation

4.1 Significant progress has been made with the Business Transformation Programme to date with major systems installations having progressed and further changes being implemented over the next few months. Significant work continues into 2007/08. The Programme has a robust risk management process and reporting mechanisms set in place. The Scrutiny Committee are asked to note this progress to date and the Risk Controls accordingly.

KEITH HINKLEY
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Contact Officer: Rita Stone, Assistant Director (Resources) Tel. 01273 482526

Local Member(s): All

BACKGROUND DOCUMENTS None

Allocation of £4m Business Transformation Funding

	Actual 06/07	F/Cast 07/08	Total Cost	Programme Budget Breakdown 2007/08								Total	
				Abacus	Controcc	SAS	Interfaces	PPPM	Ops	CM	PSO		
Hardware	9,980	273,692	283,672	48,692	0					225,000			273,692
Software	61,168	711,865	773,033	163,432	128,433		75,000			345,000			711,865
	71,148	985,557	1,056,705	212,124	128,433	0	75,000	0	570,000	0	0		985,557
Resources													
Internal	395,545	216,263	611,808	39,764	0	34,659	0	30,000	7,863	69,318	34,659		216,263
External	756,981	801,350	1,558,331	111,389	175,397	7,564	43,200	33,600	190,275	0	239,925		801,350
	1,152,526	1,017,613	2,170,139	151,153	175,397	42,223	43,200	63,600	198,138	69,318	274,584		1,017,613
Other	626,315	146,900	773,215	6,600	23,000	0	0	17,000	60,000	38,300	2,000		146,900
Total Project	1,849,989	2,150,070	4,000,059	369,877	326,830	42,223	118,200	80,600	828,138	107,618	276,584		2,150,070

	Revised Last F/C		Var
Actual Spend 2006/	1,850	1,947	97
F/Cast Spend 2007/	2,150	2,053	-97
Total Forecast	4,000	4,000	-0

Business Transformation Programme

Achievements to date – Phase One

Efficiencies through Home Care re-tendering exercise;

- Reduction in fee rates resulting in savings of over £1.3 million per annum
- Improved market management through fewer providers and tighter contracts
- Simpler payments process resulting from one consolidated rate for home care
- Improved quality of services provided, through quality and monitoring and contract compliance
- New provider identified for Direct Payments Service which will significantly increase capacity within existing resources

Efficiencies through process & technology;

- Staffing reductions resulting in savings of £665k
- Implementation of Abacus Financial Assessment Module resulting in significant improvements in accuracy and reduced process time.
- Improved home care charging process resulting in increased income
- Enhanced care management process
- Review of Social Care Direct completed with recommendations for an Improvement Plan
- Procurement of system for contracts management, Provider Payments, Financial Assessments and Client Billing
- Improved performance management information
- Availability of Direct Debit option for the payment for care

Creation of a Service Placement and Brokerage Team;

- Increased practitioner capacity enabling increased level of assessments and review and therefore improved performance
- More stringent contractual arrangements especially on pricing with external providers
- Use of specialist staff for contract negotiations resulting in reduced fee rates
- Quality management and monitoring of service delivery
- Improved market management to ensure value for money
- Preferred Provider Scheme developed for residential and nursing care for older people which will improve the quality of services

Programme Delays;

Through the risk management process it became clear that due to a number of issues rescheduling of timescales was required. This would enable resources to be deployed to focus on the most critical areas of the programme and also ensure contingency plans were put in place. The key risks highlighted were as follows;

- The system supplier's, having difficulties delivering a working version that contains our full functionality

- Technical difficulties with existing infrastructure which is being dealt with through strong support from ICT
- Difficulties arising from the level and quality of data in the legacy systems with approximately 1000 service packages needing more detailed checking and updating on Carefirst prior to upload
- The programme has been resourced by a combination of internal and external expertise. It has not been possible to ensure the appropriate level of management capacity at all stages of the programme
- Implementation has relied heavily on the expertise of key managers. It is essential to ensure these managers are supported and able to take leave to ensure respite from the high levels of pressure within the programme
- Use of innovative technological solutions where the authority has little expertise requiring the development of new skills and knowledge

Management of delays – contingencies;

Contingencies have been developed for all required areas, to ensure that all risks are mitigated. Internal Audit has been closely involved in the development of these, to provide assurance of conformance to County Council Policy and Procedures.

A revised Programme plan has been produced with redefined detailed tasks, timescales, resources and dependencies.

Impact of delays on Customers;

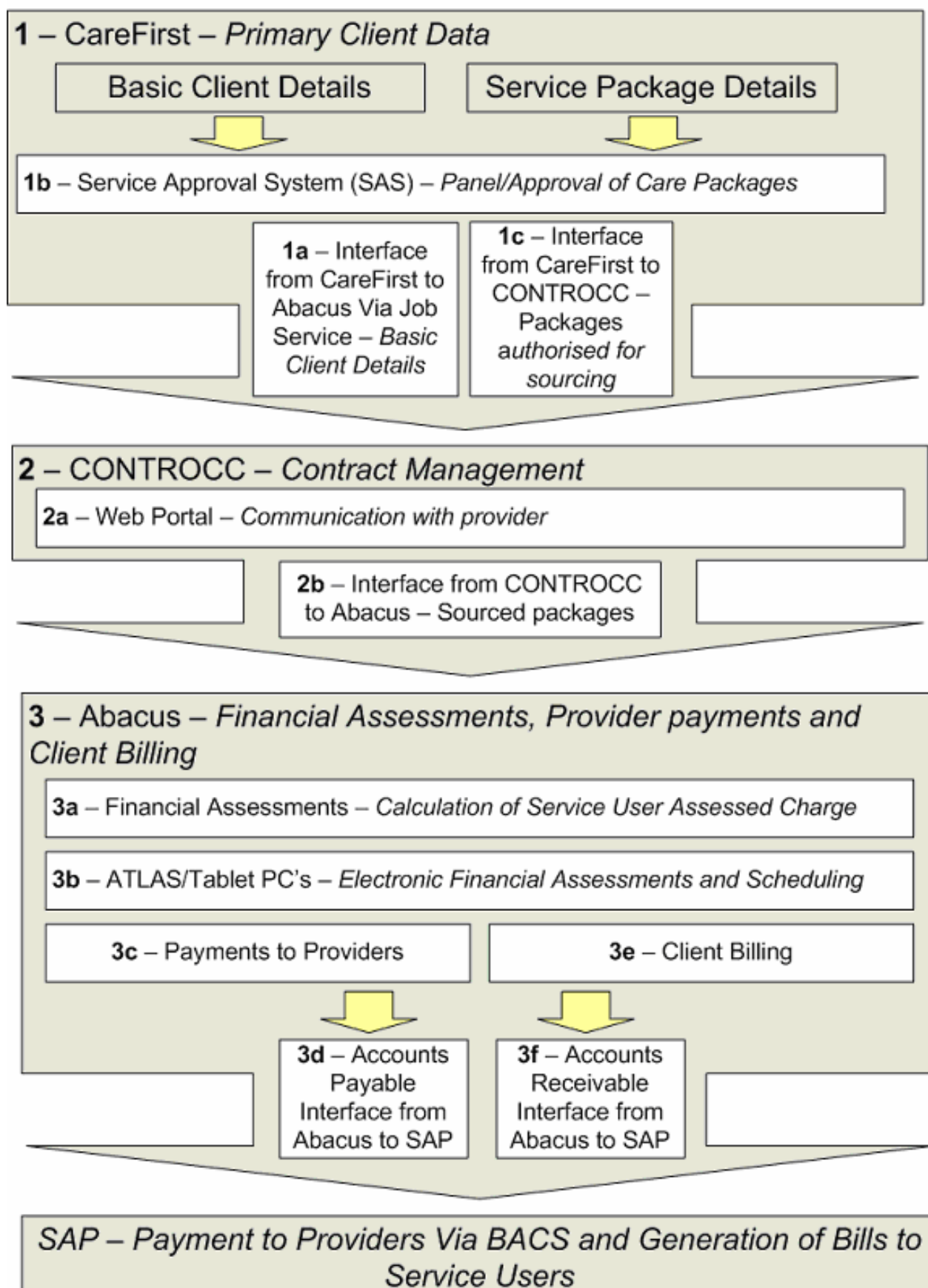
The areas of delay primarily relate to implementation of improvements to back office systems and processes, resulting in no impact on customers.

Customers will be affected by the change of home care providers or shift to Direct Payments where this is the preferred option. This is however part of a carefully managed transfer and is being implemented according to plan.

Business Transformation Programme

Phase One and Two - Deliverables/Contingencies

Overview – Context Diagram



1 – Care First - Primary Client Data

The work to validate the current data in Aegis and CareFirst is not yet complete.

However, client basic details have been validated and will facilitate the automatic transfer of this data via Job Service into Abacus (1a).

The work continues on the validation and data convergence of Client data and service package details and needs to be completed to the same timescale as the installation of the fully-configured Controcc and Abacus, and the interfaces between them (Phase Three). This work will also ensure that data is updated following transfers of service users to new providers.

1a – Interface CareFirst to Abacus (Financial Assessments) via job service (A1)

Job service has now been installed and appropriately configured.

Final user acceptance testing is required but it is expected that this interface will be available by the 1st April (Phase One)

Contingency;

- Clients basic details will be entered manually onto abacus. This would require very little additional resource, however will need to be monitored closely to ensure data convergence is maintained between Care First and Abacus.

Owner – Tina Hitch Head of FABIT

1b – Service Approval System (SAS) – Panel/Approval of Care Packages

The Service Approval System (SAS) is the replacement of the manual panel approval process currently supported by SPM on Aegis.

SAS will provide Adult Social Care budget holders with an electronic solution for the management and approval of community care services.

Although a proto-type version of the system is now available, a completed system and revised process will not be in place by the 1st April. However it is anticipated that the Service Approval System will be implemented during August 2007 as part Phase Two.

Contingency;

- Continue with current manual process via SPM and Aegis. The support function to this process will need to be reviewed for additional resource.

Owner – Ian Gutsell Head of Strategic Finance

1c – Interface from CareFirst to CONTROCC – Packages Authorised for Sourcing

Following approval of a care package either from SAS or SPM (see above), the appropriate details will be sent via the interface to CONTROCC for the Service Placement Team to commence the sourcing process.

This interface will not be required until CONTROCC is implemented as part of Phase Three of the programme.

During Phase Two an electronic output of approved care packages will be generated from Care First, which will enable MS Mail Merge to assist in contract production.

Contingency;

- A manual output will be available of approved packages for sourcing either via SPM or SAS. The service placement team will use this information to source the appropriate package and produce the contract with the provider.

Owner Jeri Damman Head of CPU

2 – CONTROCC - Contract Management

CONTROCC will manage ASC care capacity for all services within block and preferred provider contracts. The system will also automate the completion and issue of contracts and transfer the required data via an interface (3b) to abacus to ensure appropriate payment to providers.

Although a vanilla version of Controcc is installed, the specification of our configuration of the system has yet to be finalised. Consequently, Controcc will not be installed until Phase Three of the Programme.

Contingency;

The Service Placement Team will continue with current procedures, including the update of CareFirst with sourced agreements and the manual completion of care contracts. It is envisaged that any additional resource requirements will be minimised through the use of MS Word mail merge.

Plans are already in place for secondment of three operational assessors into the Service Placement Team to manage the sourcing and procurement of Residential and Nursing services that has transferred from Operations.

Experienced resources currently within the quality and monitoring team will in the first instance be redeployed into the Service Placement Team. The impact on the quality and monitoring service is currently being reviewed.

Owner Jeri Damman Head of CPU

2a – CONTROCC Web Portal - Provider Portal

The new care contracts state that the Council will have an electronic form of communication with care providers. A vanilla version of the Controcc portal has been installed which should provide this functionality although the specification of our configuration of the portal will continue.

CONTROCC must be installed for the Web Portal to work, and therefore this will not take place until Phase Three of the programme.

Contingency;

Existing methods of communication will continue (eg phone, letter, and email), with a shift towards email where possible and a specific e-mail address has been set up to facilitate this. There is a specific clause in the contract outlining action to be taken if the Web Portal is not available, we will therefore instigate this clause.

Owner Jeri Damman Head of CPU

2b – Interface from CONTROCC to Abacus – Financial Commitment Details

The interface will extract the financial commit for commissioned care. This process will enable Abacus to make scheduled payments for residential and nursing placements and set commissioned activity levels for payment of non residential services via invoices.

AS stated above CONTROCC will not be in place from the 1st April and therefore neither will the interface.

Contingency;

The existing manual process of updating either Aegis or Abacus from the contract will continue.

Owner – Tina Hitch Head of FABIT

3 – Abacus - Provider Payments, Financial Assessments and Client Billing

Abacus is the holistic system that will enable the department to financially assess service users, pay providers for actual care services received and bill clients on this activity.

3a – Financial Assessments

The system has been loaded and configured for Data Entry purposes and manual input by agency staff is currently being undertaken for data load of all current financial assessments. It is anticipated that all residential and nursing placements will be loaded by 16 March and non residential placements by the 27 March.

Reconciliation between Aegis and Abacus is being undertaken and documented as part of the data loaded to ensure the financial assessment figure between the two systems match.

It is anticipated that the annual inflationary increases to financial assessments (re-assessments) will be undertaken on Abacus, using facilities within the software package. Including all letters and notifications it is estimated that this will take 8 days in total compared to 6 months previously.

It is expected that the Financial Assessments Module of Abacus will go live by the 2nd April (Phase One).

Contingency;

Financial assessments would need to be undertaken manually as per the current process.

Owner – Tina Hitch Head of FABIT

3b – ATLAS/Tablet PC's - Electronic Financial Assessments and Scheduling

ATLAS is a module of Abacus that enables electronic referrals for financial assessments to be scheduled into the diaries of visiting officers. This facility will also enable the visiting officer to visually see all currently held financial information relating to a service user by both ASC and the DWP. The financial assessment will then be carried in real time on the tablet PC's, confirmed to the service user and electronically interfaced into Abacus.

The ATLAS functionality requires additional configuration and process re-engineering to enable office based assessments to be carried out using the same procedure as one to one visits. Staff will also require training in both the usage of ATLAS and the tablet PC's.

The scheduling element of ATLAS will be jointly managed with the DWP and therefore their timescales and resources will also need to be considered and agreed.

Abacus requires additional configuration to enable ATLAS to be implemented and therefore this element will be implemented as part of Phase Two, during June.

Contingency;

The current manual process will continue.

Owner – Tina Hitch Head of FABIT

3c – Payments to Providers

Abacus will pay providers based on the amounts agreed within the contract, for residential and nursing the system will facilitate payment by schedule and for non residential by invoice.

It is anticipated that further developments within the system will enable self billing for non residential payments, resulting in further savings in resources.

Although Abacus is installed and working, it has not been fully configured for provider payments and therefore data load has not yet been able to commence. Consequently this module of Abacus will be implemented as part of Phase Two, where it is anticipated that it will make all payments from July onwards.

Contingency;

We will continue to use Aegis (with a small modification to export gross (rather than net) payments for home care) and its current SAP interface, until Abacus and its interface to SAP have been fully configured, tested and signed off. This will include a period of parallel running alongside Aegis. Client and service data will be continue to be manually input into Aegis using existing methods.

Notification is being issued to residential and nursing providers giving formal notice that the implementation of scheduled payments will be delayed.

Owner – Tina Hitch Head of FABIT

3d – Payments interface from Abacus to SAP (Accounts Payable)

This interface will electronically transfer payments authorised data from Abacus to SAP to generate the payments to providers via BACS.

Although the BizTalk to SAP part of the interface is working, there is currently no payment data (4d) to export from Abacus to BizTalk yet for testing.

This interface will be delivered as part of Phase Two, during July, in line with the implementation of payments on Abacus.

Contingency;

We cannot go live with Abacus payments module until this interface is working, and therefore will continue to use Aegis as detailed in 4d.

Owner – Tina Hitch Head of FABIT

3e – Client Billing

This module of Abacus links the financial assessment to the actual non residential care services provided to the service users to generate an appropriate charge, along with directly collect residential charges and third party contributions.

This part of the system is dependent on the payments module of the system (4d) being implemented. Therefore in line with Abacus Payments, client billing will go live during July as part of Phase Two.

Contingency;

1. Aegis is being modified to enable actual non residential services delivered to be recorded during the process of inputting the invoices to be paid. This information will then be used with the financial assessment amount to generate a charge to the service user.

We are writing to non residential providers requesting they comply with a standard format of invoice to itemise actual hours delivered by week. This in the longer term will also assist with phase two implementation.

2. If contingency 1 fails then; we will download service users applicable financial assessment and generate client bills based on their maximum charge.

Residential charges and third party contributions will continue to be collected using the current procedure.

Owner – Tina Hitch Head of FABIT

3f - Interface from Abacus to SAP (Accounts Receivable)

This interface will electronically transfer client billing data from Abacus to SAP to generate the bills to service users.

Under the new home care contracts which commence 23 April 2007, the new payment terms will result in gross payments to providers. This means an estimated 1500-2000 contributions currently collected by providers will require invoices to be generated each month.

There is currently some outstanding work with Serco regarding the specification of the invoice creation IDoc, and the export of that information from Abacus, however it is hoped that these will be forthcoming shortly.

This interface will be delivered as part of Phase Two, during August, in line with the implementation of client billing on Abacus.

Contingency;

A dummy invoices will be produced from Abacus, with a manual entry to SAP accounts receivable. A reconciliation will then be undertaken between the two systems to validate.

Owner – Tina Hitch Head of FABIT

4 – SAP Business Warehouse – Financial and Management Reporting

The purpose of the Business Warehouse is to combine data from various systems, namely, SAP, Abacus, Controcc and Carefirst to ensure users only see consistent data or 'One Version of the Truth'. The functionality within BW enables users to predicatively plan, utilise performance management information, decision making and control, and business analytics and forecasting.

4a – Financial Forecasting

Client, service and provider data will be extracted from Abacus and imported into the Business Warehouse. The method of extraction will most likely be a flat file extraction, produced by Target (still to be confirmed by the PPPM project board). The extracted data will then be imported into BW data cubes.

This data in BW will be used to produce unit costs, financial forecasts and provider costs. Filters on the reports will enable the user to manipulate their reports to display data specific to their interests.

Contingency;

Export data from Abacus, into Excel, using the standard reports. The data can then be further manipulated within Excel to meet the financial reporting requirements.

Owner – Tina Hitch Head of FABIT

Summary of Phasing of implementationPhase One = 2nd April 2007

Phase Two = 2nd April to 31 August 2007

Phase Three = Fully implemented Programme – 31 December 2007.

System	Module/Functionality	Phase One	Phase Two
1. CareFirst	1a. Interface CareFirst to Abacus (A1)	√	
	1b. Service Approval System		√
	1c. Interface from CareFirst to CONTROCC		
3. Abacus	3a. Financial Assessments	√	
	3b. ATLAS/Tablet PC's		√
	3c. Payments to Providers		√
	3d. AP Interface from Abacus to SAP		√
	3e. Client Billing		√
	3f. AR Interface from Abacus to SAP		√
4. BW	4a. Financial Forecasting		√

Phase 3**Programme Overview**

Moving to Phase 3 will be from the platform created by the Phase 2 implementation. This platform from Phase 2 is expected to consist of:

System	Expected Functionality	Phase
Carefirst and SAS	An integrated client detail system with a bespoke funding approval process through SAS.	2
Abacus	Managing financial assessments, vendors payment management calculations, debt management, client invoices/statements, rate tables	1 & 2
Atlas	Financial Assessment Mobile Solution with PC Tablets and scanner/printer hardware	2
Interfaces	Abacus is joined up with Carefirst for client details and SAP AP and AR to create payments and client billing.	1 & 2
SAP BI (BW)	Outputs would generate financial forecasts to produce control figures and other financial requirements.	2

Delivery of Phase 3 will consist of key expectations of:

System	Expected Functionality	Phase
Controcc	A CMS, Tendering, Web Portal and Quality Monitoring configured to our specification to be operational.	3
Abacus	A transfer to a version of abacus configured to our closed loop system architecture.	3
Interfaces	All interfaces to close off master data fields in line with the closed loop architecture (data is synchronised and entry is through one point only).	3
SAP BI (BW)	Agreed prioritised requirements from the original specification determination.	3
Data Convergence	Configure data taxonomy, cleanse existing data to required format. Reconcile systems data.	3
Homecare Real Time Monitoring	Manage the receipt of actual hours from Homecare Providers.	3

The Project Plan for Phase 3 is currently under development but early indication that the completion is expected to be December 07.

Abacus - Transfer to Abacus Live!

Phase 1 will deliver the Financial Assessment module of Abacus. Phase 2 will complete the development and installation of the remaining deliverables in Abacus, including Provider Payments (gross and net) and Client Billing.

The end of Phase 2 will set the stage for a fully operational Abacus system.

Phase 3 will necessitate a transfer of Abacus and its functions to a fully configured version of Abacus with core tables altered to reflect the consistencies within the other systems to enable a closed data loop architecture to be created..

Controcc - Fully integrated user configured solution

Phase 3 will deliver a fully functional Contracts Management System including Tendering control and Quality Monitoring. This will enable the Service Placement Team (SPT) to manage the whole sourcing, placement and contract creation process in a formal manner. The system will allow the Quality Monitoring Team to manage the contracts from a performance perspective. This solution forms the hub of control through which placements can be made from requests through SAS before submitting to Abacus for payment.

Web Portal for Provider Communications

Attached to the Controcc Solution is a web portal to facilitate communication between SPT and providers. This will enable SPT to share information with all or selected providers such as Care Plans or Contracts. Also providers will be able to submit activity returns with explanations of incidents/events that would effect the quality monitoring of their services or the delays in payment that may occur if the information was not provided.

This communication portal will be available as part of the Phase 3 Deliverables.

Interfaces

The design architecture has evolved into a closed data loop format with a focus on maintaining data integrity, reduce manual entry and accountability to key master data owners. To enable these interfaces to work flexibly, BizTalk will be used as a hub to manage data flows.

Phase 1 & 2 will see the creation of three basic interfaces: Carefirst and Abacus (A1), Abacus and SAP Provider Payments (A7), and Abacus and SAP Client Billing (A4/A5). Phase 3 will finalise the remaining seven of the proposed ten interfaces essential to going live.

The remaining interfaces to be delivered during Phase 3 are:

Interface	Systems	Function	Phase
BizTalk	All systems	Interface hub configured to handle data flows between systems	1, 2, 3
A2	CareFirst – Abacus	Assessment request	3
C1	CareFirst – Controcc	Client details	3
C2	CareFirst – Controcc	Service agreement/CPLI	3
C3/A3	Controcc – Abacus	CPLI/Care episode	3
C6/A8	Controcc – Abacus	Provider set up	3
C5	Controcc – SAP	Provider/vendor to SAP set up	3

The delivery of the interfaces outlined above will complete the integration of the individual systems, providing a greater level of assurance around data throughout the whole system and reduce manual effort to enter information and also reconcile systems to ensure integrity is maintained.

Business Warehouse - Predictive Planning and Performance Management

Phase 2 will only see basic output from the BW to enable managers to manage their control figures for the placement of clients.

The initial scoping document defines the required deliverables from the Business Warehouse from which a priority ranking has been determined base on a High, Medium and Low criteria.

The purpose of the Business Warehouse is to combine data from various systems, namely, SAP, Abacus, Controcc and Carefirst to ensure users only see consistent

data or 'One Version of the Truth'. The functionality within BW enables users to predicatively plan, utilise performance management information, decision making and control, and business analytics and forecasting.

The Phase 3 output will be determined based upon refinement of the priority ranking from the reporting categories outlined in the table below:

Data Cubes	Description	Phase
Financial Assessment	Details and Outcomes of Financial Assessment, Referrals, Pending, Financial Assessment Reviews	3
Services (all services)	Contains all client data and the services receiving (dom/ day). Client cost includes cost the service, client contribution, maximum financially assessed cost, 3 rd party top up etc.	2
Service Sessions (Home Care)	Analyses the home/day care sessions down to an individual task on a specific day	3
Client Lifecycle (e.g. referrals, assessments etc)	All the major events that occur to a client through out the client lifecycle. All events must be associated with a time period, i.e. a start and end date.	3
Population figures	Data from the Office of National Statistics. Used to compare client reports against the whole population of East Sussex. Used for some of the PAF indicators.	3
Complaints	Complaints made through the complaints department	3
Provider	Provider and contract information, including preferred providers and their CSCI/ESCC scores	3
Finance	Financial information from SAP R/3	2
Equipment & Adaptations	Data on equipment and adaptations, used to produce PAF D54 - <i>Percentage of items of equipment and adaptations delivered within 7 working days</i>	3
HR	Staffing information source will be SAP HR.	3
PAF Indicators	Statutory returns, performance indicators as required by the DOH	3

Homecare Real Time Data Monitoring

The Homecare re-tendering exercise which enabled the achievement of savings targets on a consolidated rate, included an element to acquire a real time homecare recording system. During Phase 3 we will be working with providers to receive this information and make decisions around the way in which the department will handle and manage real time homecare information. The actual hours will enable the department to pay providers according to actual service delivered, manage the block contracts more effectively, accurately bill clients and to quality monitor the delivery of the service including highlighting frustrated visits.

Systems Training

Phase 1 and Phase 2 would have seen the delivery of the systems training for utilising Abacus, Atlas and SAS. The remaining area of training requirement will reside for CPU and Providers.

The Service Placement Team, Contracts and Quality Monitoring Team will be trained for the functionality of Controcc for their respective areas.

Providers will have training and support in completing their returns via the web portal.

Training will be required to deal with the receipt of actual homecare hours and how this is monitored within SPT for capacity management and utilised within Finance and Business Information Team (FABIT) for the payment to providers.

User training is required to maximise the functionality of the Business Intelligence System (BW) for managing day-to-day business and data interrogation for ad-hoc queries.

Processes and Procedures Re-design

The processes and procedures for Phase 1 consisted of mainly manual ways of working fairly close to the current methodology which had been mapped to give a clear representation of the flow and control points along with an annotated explanation of the procedures. Phase 2 with the introduction of Provider Payments, Mobile Financial Assessment and the Service Approval System attached to Carefirst necessitated the modifications to the processes and procedures to reflect the changes in working practices through an increase of automated system population via interfaces.

The Phase 3 Processes and procedures will be revised to reflect the closed loop architecture. The largest changes will be reflected through the introduction of Controcc to support the functions of the Procurement Unit. With significantly more interfaces being introduced the procedures will reflect the reduction in manual entry.

For each process a mapping and procedures manual will be produced to facilitate training current and new staff members. The new procedures will not come into force until the whole system architecture including data validation has become complete.

Data

Before Phase 3 final testing and go live is achieved it is fundamental that the data within this systems design has been cleansed, verified, cross linked and the taxonomy design meets current and potential future need and provides the common thread across all systems to ensure integrity.

Decisions on the structure of Service Types and Client Categories will be made which meet the needs for Performance Indicators, Financial Reporting, statutory returns etc.

A reconciliation will be carried out between Carefirst and Abacus to validate client information and the services they receive and verify the linkages between the datasets.

Once the data has been validated and signed off cut over to the whole system with data transference taking place balanced in conjunction with the current live systems.

Project Risk Log														
Risk ID	Phase	Category	Date Raised (yyyy/mm/dd)	Date Updated	Description	Probability (1-5)	Impact (1-5)	Score	RAG	Proximity	Action List	Status	Owner	Expected Resolution Date
System Framework-R17	2	Systems	17/04/2007		JobService cannot be upgraded to handle multiple files with suffixes	4	4	16	R		Ensure specifications are available on time and lobby Target Systems	Open	Alan Gower	30/06/07
System Framework-R20	2	Systems	11/05/2007		BizTalk layer not developed and tested to schedule	4	4	16	R		Lobby ICT Services and develop contingency	Open	Alan Gower	20/07/07
System Framework-R9	2	Systems	03/11/2006		Insufficient time to develop and test Abacus Phase 2 interfaces before go-live	3	5	15	R		Define and develop contingencies	Open	Alan Gower	20/07/07
Controcc-R4	3	Data	15/03/2007		Data quality and consistency of cross-system codes such as service type may not be resolved/agreed in time for implementation.	2	5	10	R	31/07/2007	Once system requirements have been defined, need to ensure that the data convergence project is addressing all CPU needs and in the required timescales.	Open	Paul Young	31 May 2007
Abacus-R14	2	System	11/05/2007		There have been a large number of bugs in both JobService and Abacus, all of which have an impact on meeting deadlines. Continuation of this will effect delivery dates.	3	4	12	A	July	Identify these bugs as quickly as possible so they can be resolved before go live.	Open	Austen Cook	End of June
Controcc-R6	3	System	30/04/2007		System definition and design may be being progressed faster than the definition of the processes for how the new CPU organisation is to operate.	3	4	12	A	30/06/2007	The ongoing work to confirm the objectives and detailed requirements will need to take this into account as part of the sign off to proceed to full implementation of a solution.	Open	Jeri Damman	15 Jun 2007
Data Convergence-R8	3	Data	08/05/2007		Work on teams in carefirst cannot be completed in time for SAS 'Go Live' date	4	3	12	A	01/07/2007	Liase with AG, SM. Set timescales for Ops teams to complete tasks	Open	Justin King	31 May 2007
Abacus-R12	2	System	11/05/2007		There is little room for fixing errors that may occur during testing. This would have an impact on the delivery date	3	3	9	A	July	This is a risk that will have to be tolerated. So long as there are contingency plans in place.	Open	Austen Cook	End of June
Abacus-R13	2	System	11/05/2007		There have been a large number of version releases from Target all of which require testing. This increases the testing time and makes it harder to meet the delivery dates	3	3	9	A	July	Control new versions by giving Target a group of program changes/enhancements together, so the new release includes a number of changes.	Open	Austen Cook	End of June
Abacus-R15	2+	System	11/05/2007		There is a risk that there will be bugs occurring after go live. This has occurred in DES and had a loss of confidence in the product as well as reducing work efficiency	3	3	9	A	Post Go Live	Conduct extensive testing which will require extra resource and support for the Testing Team.	Open	Austen Cook	End of June
Controcc-R2	3	System	15/03/2007		Procurement of ContOCC software may be significantly more expensive than allowed for in the contract as a result of change controls relating to requirements emerging from the more detailed definition of how the new organisation will operate.	3	3	9	A	31/05/2007	Further analysis work is needed to determine the precise methods of working within the service placement team and their interaction with the operational teams. The external consultant will facilitate this and, once agreed, will help define specific system requirements. 10/5 - a plan to revisit the high-level objectives of the system and the resulting detailed requirements has been developed which will complete this analysis work by early June.	Open	Justin King	22 May 2007
Abacus-R10	2	Data	10/05/2007		Without good data cleansing there will be a data load of poor quality data. This will make it hard to manage payments and client billing	2	4	8	A	July	Review all contracts being loaded and cleanse areas that need work	Open	Austen Cook	End of June
Abacus-R11	2	Data	10/05/2007		Once Abacus goes live, new contracts need to be linked back to Care First. If this does not happens then there will be no interfacing into Abacus unless a new data convergence project is done.	2	4	8	A	July	Develop an Interface from Care First to Abacus	Open	Austen Cook	End of June
Abacus-R6	2	System	16/03/2007		There is no business continuity plan for Abacus, if Abacus were to go down, there would be no SLA with ICT or plan to keep a business critical systems working	2	4	8	A	Post implementation	Raise this risk and develop a Disaster Recovery plan.	Open	Austen Cook/ Karen Weiner	none set
ATLAS-R9	2	Systems	15/03/2007	17/04/2007	Delays in implementing ABACUS affecting the implementation of ATLAS.	4	2	8	A	May	Ensure the Managers responsible for implementing ABACUS are aware of the impact.	Open	M Parsons	
Controcc-R5	2	System	15/03/2007		Service User Transfer not supported - this may make the transfer process more difficult, time-consuming and prone to error.	2	4	8	A	23/04/2007	A resource has been brought in to support this work; however, without a contract management system there will be no systems support for what is likely to be an involved process. CPU to determine support requirements for this. 18/4 - CPU are defining and developing spreadsheet based support systems for this. 10/5 - no ongoing issues identified.	Open	Jeri Damman	30 Apr 2007
Data Convergence-R5	3	System	17/04/2007		Systems will not be capable of holding the new categories	2	4	8	A		Meet with AC, AG, JW regarding system capabilities	Open	Justin King	30/05/2007
System Framework-R10	3	Systems	03/11/2006		Insufficient time to develop and test Controcc and Abacus Phase 3 interfaces before go-live	2	4	8	A		Dependent on Phase 3 go-live date. Work closely with Trojan and OCC	Open	Alan Gower	24/12/07

Project Risk Log														
Risk ID	Phase	Category	Date Raised (yyyy/mm/dd)	Date Updated	Description	Probability (1-5)	Impact (1-5)	Score	RAG	Proximity	Action List	Status	Owner	Expected Resolution Date
System Framework-R14	3	Resources	05/01/2007		Insufficient resources from software suppliers (OCC, Target and/or Serco)	2	4	8	A		Lobby suppliers	Open	Alan Gower	24/12/07
System Framework-R18	3	Systems	17/04/2007		JobService cannot be upgraded to automatically report errors and statistics	2	4	8	A		Ensure specifications are available on time and lobby Target Systems	Open	Alan Gower	24/12/07
Abacus-R1	2	Data	15/03/2007		The data load from Aegis to Abacus will lose the work of the data convergence project. This will require a lot of reworking.	2	3	6	G	April	Work with Phil Russell for the data load. He's been involved in the data convergence project and will help ensure that as little work is lost	Open	Austen Cook	20 Mar 2007
ATLAS-R11	2	Resources	15/03/2007		One member of staff has been nominated to complete user acceptance testing. If this member of staff is absence, uat made not be completed fully. Department Manager wants to use temporary staff to complete uat.	2	3	6	G	May	Ensure managers are aware of the importance of system testing. Supply testing documents, so that all system testing outcomes are documented. Collate all outcomes and monitor. Nominate back up staff. Nominate manager for temps	Open	M Parsons	

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Risk ID	Phase	Category	Date Raised (yyyy/mm/dd)	Date Updated	Description	Probability (1-5)	Impact (1-5)	Score	RAG	Proximity	Action List	Status	Owner	Expected Resolution Date	Reviewed by
System Framework-R17	2	Systems	17/04/2007		JobService cannot be upgraded to handle multiple files with suffixes	4	4	16	R		Ensure specifications are available on time and lobby Target Systems	Open	Alan Gower	30/06/07	
System Framework-R20	2	Systems	11/05/2007		BizTalk layer not developed and tested to schedule	4	4	16	R		Lobby ICT Services and develop contingency	Open	Alan Gower	20/07/07	
System Framework-R9	2	Systems	03/11/2006		Insufficient time to develop and test Abacus Phase 2 interfaces before go-live	3	5	15	R		Define and develop contingencies	Open	Alan Gower	20/07/07	
Controcc-R4	3	Data	15/03/2007		Data quality and consistency of cross-system codes such as service type may not be resolved/agreed in time for implementation.	2	5	10	R	31/07/2007	Once system requirements have been defined, need to ensure that the data convergence project is addressing all CPU needs and in the required timescales.	Open	Paul Young	31 May 2007	
Abacus-R14	2	System	11/05/2007		There have been a large number of bugs in both JobService and Abacus, all of which have an impact on meeting deadlines. Continuation of this will effect delivery dates.	3	4	12	A	July	Identify these bugs a quickly as possible so they can be resolved before go live.	Open	Austen Cook	End of June	
Controcc-R6	3	System	30/04/2007		System definition and design may be being progressed faster than the definition of the processes for how the new CPU organisation is to operate.	3	4	12	A	30/06/2007	The ongoing work to confirm the objectives and detailed requirements will need to take this into account as part of the sign off to proceed to full implementation of a solution.	Open	Jeri Damman	15 Jun 2007	
Data Convergence-R8	3	Data	08/05/2007		Work on teams in carefirst cannot be completed in time for SAS 'Go Live' date	4	3	12	A	01/07/2007	Liase with AG, SM. Set timescales for Ops teams to complete tasks	Open	Justin King	31 May 2007	
Abacus-R12	2	System	11/05/2007		There is little room for fixing errors that may occur during testing. This would have an impact on the delivery date	3	3	9	A	July	This is a risk that will have to be tolerated. So long as there are contingency plans in place.	Open	Austen Cook	End of June	
Abacus-R13	2	System	11/05/2007		There have been a large number of version releases from Target all of which require testing. This increases the testing time and makes it harder to meet the delivery dates	3	3	9	A	July	Control new versions by giving Target a group of program changes/enhancements together, so the new release includes a number of changes.	Open	Austen Cook	End of June	
Abacus-R15	2+	System	11/05/2007		There is a risk that there will be bugs occurring after go live. This has occurred in DES and had a loss of confidence in the product as well as reducing work efficiency	3	3	9	A	Post Go Live	Conduct extensive testing which will require extra resource and support for the Testing Team.	Open	Austen Cook	End of June	
Controcc-R2	3	System	15/03/2007		Procurement of ContOCC software may be significantly more expensive than allowed for in the contract as a result of change controls relating to requirements emerging from the more detailed definition of how the new organisation will operate.	3	3	9	A	31/05/2007	Further analysis work is needed to determine the precise methods of working within the service placement team and their interaction with the operational teams. The external consultant will facilitate this and, once agreed, will help define specific system requirements. 10/5 - a plan to revisit the high-level objectives of the system and the resulting detailed requirements has been developed which will complete this analysis work by early June.	Open	Justin King	22 May 2007	
Abacus-R10	2	Data	10/05/2007		Without good data cleansing there will be a data load of poor quality data. This will make it hard to manage payments and client billing	2	4	8	A	July	Review all contracts being loaded and cleanse areas that need work	Open	Austen Cook	End of June	Austen Cook
Abacus-R11	2	Data	10/05/2007		Once Abacus goes live, new contracts need to be linked back to Care First. If this does not happens then there will be no interfacing into Abacus unless a new data convergence project is done.	2	4	8	A	July	Develop an Interface from Care First to Abacus	Open	Austen Cook	End of June	Austen Cook
Abacus-R6	2	System	16/03/2007		There is no business continuity plan for Abacus, if Abacus were to go down, there would be no SLA with ICT or plan to keep a business critical systems working	2	4	8	A	Post implementation	Raise this risk and develop a Disaster Recovery plan.	Open	Austen Cook/ Karen Weiner	none set	Austen Cook
ATLAS-R9	2	Systems	15/03/2007	17/04/2007	Delays in implementing ABACUS affecting the implementation of ATLAS.	4	2	8	A	May	Ensure the Managers responsible for implementing ABACUS are aware of the impact.	Open	M Parsons		
Controcc-R5	2	System	15/03/2007		Service User Transfer not supported - this may make the transfer process more difficult, time-consuming and prone to error.	2	4	8	A	23/04/2007	A resource has been brought in to support this work; however, without a contract management system there will be no systems support for what is likely to be an involved process. CPU to determine support requirements for this. 18/4 - CPU are defining and developing spreadsheet based support systems for this. 10/5 - no ongoing issues identified.	Open	Jeri Damman	30 Apr 2007	
Data Convergence-R5	3	System	17/04/2007		Systems will not be capable of holding the new categories	2	4	8	A		Meet with AC, AG, JW regarding system capabilities	Open	Justin King	30/05/2007	
System Framework-R10	3	Systems	03/11/2006		Insufficient time to develop and test Controcc and Abacus Phase 3 interfaces before go-live	2	4	8	A		Dependent on Phase 3 go-live date. Work closely with Trojan and OCC	Open	Alan Gower	24/12/07	

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Risk ID	Phase	Category	Date Raised (yyyy/mm/dd)	Date Updated	Description	Probability (1-5)	Impact (1-5)	Score	RAG	Proximity	Action List	Status	Owner	Expected Resolution Date	Reviewed by
System Framework-R14	3	Resources	05/01/2007		Insufficient resources from software suppliers (OCC, Target and/or Serco)	2	4	8	A		Lobby suppliers	Open	Alan Gower	24/12/07	
System Framework-R18	3	Systems	17/04/2007		JobService cannot be upgraded to automatically report errors and statistics	2	4	8	A		Ensure specifications are available on time and lobby Target Systems	Open	Alan Gower	24/12/07	
Abacus-R1	2	Data	15/03/2007		The data load from Aegis to Abacus will lose the work of the data convergence project. This will require a lot of reworking.	2	3	6	G	April	Work with Phil Russell for the data load. He's been involved in the data convergence project and will help ensure that as little work is lost	Open	Austen Cook	20 Mar 2007	Austen Cook
ATLAS-R11	2	Resources	15/03/2007		One member of staff has been nominated to complete user acceptance testing. If this member of staff is absence, uat made not be completed fully. Department Manager wants to use temporary staff to complete uat.	2	3	6	G	May	Ensure managers are aware of the importance of system testing. Supply testing documents, so that all system testing outcomes are documented. Collate all outcomes and monitor. Nominate back up staff. Nominate manager for temps	Open	M Parsons		