

gateway review programme

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PROGRAMME / PROJECT: eCare Programme

**Gateway Review 0
(Strategic Assessment)**

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1. **Background**

1.1 **Aims of the Programme**

The eCare Programme is intended to support better service delivery to the citizen/client/patient enabled by the use of IT. The IT element is based around the national messaging framework (the eCare framework) Implementing this and adapting the business processes to make use of it, will enable local agencies to share information in ways that are not supported by manual processes. In turn this will provide 'the business' with opportunities to improve its ways of working and enable the delivery of key policy deliverables such as *Better Health, Better Care, Getting It Right For Every Child (GIRFEC)* and public service reform and efficient government.

1.2 **Driving Force for the Programme**

In January 2006, the Scottish Executive announced plans to mainstream the use of the eCare Framework to facilitate information sharing between public sector agencies. At the same time, the local delivery of this was to be managed by 14 local Data Sharing Partnerships (DSPs). The partnerships are supported by TTD and are responsible for coordinating local information sharing initiatives in line with national policy priorities. To keep the Programme on track, the rollout of the use of the eCare Framework to support Single Shared Assessments and Child Protection, to the 14 DSPs should be completed by April 2009.

1.3 **Procurement Status**

There is no procurement ongoing for this Programme at this point.

1.4 **Current Position Regarding Gateway Reviews**

This Gateway 0 Review is the 1st to be undertaken of the Programme

2. **Purpose and Conduct of Review**

2.1 **Purpose of the Review**

Gateway Review 0: Strategic assessment; this is a programme-only Review that sets the programme in the wider policy or corporate context. This Review investigates the direction and planned outcomes of the programme, together with the progress of its constituent projects. It can be applied to any type of programme, including policy and organisational change. The Review is repeated throughout the life of the programme from start-up to closure; an early Gateway Review 0 is particularly valuable as it helps to confirm that the way forward is achievable, before plans have been finalised.

A full definition of the purpose of a Gateway Review 0 is attached for information at Appendix A.

2.2 Conduct of the Review

The Gateway Review 0 was carried out on 16/01/08 to 18/01/08 at the Office of the Scottish Government, Victoria Quay, Edinburgh EH6 6QQ.

The Review Team members are listed on Page 2 of this report.

The people interviewed are listed in Appendix B.

The Review Team would like to thank the eCare Programme Team for their hospitality and all those interviewed for their openness, which contributed to our understanding of the Programme and the outcome of this review.

3. Gateway Review Conclusion

This review took place at an opportune time when the future role of the Programme is under consideration. The Programme Team are currently working to complete a challenging set of activities to meet existing commitments. In parallel, the SRO is giving consideration to the responsibilities and deliverables of the Programme over the medium to long term. The Review Team views this to be timely as there is evidence of a tactical and 'year-end' approach to the Programme planning and funding in recent years. This has enabled a momentum to be gained and will provide the opportunity for the envisaged benefits to be proven. However, should the SG select the eCare Programme to lead on future data sharing initiatives beyond the provision of a platform, then the impact to key services and the importance of the associated issues of the security of citizen's personal data, calls for an approach based upon strategic and formal planning.

There are a number of groups across the SG which has a responsibility for the storage and disclosure of personal data. The current scope of the eCare programme is to provide the mechanisms to ensure that where specified data are required to be shared this can be achieved securely. It also provides a potential opportunity for effective sharing of data with UK agencies in reserved areas.

The current scope of specified data are those required in the support of two selected services; Child Protection and Single Shared Assessments. The focus of the Programme is the establishment of the technological platform to enable secure data sharing for these services. The Programme has taken forward this scope against a background in which the SG requirement, in common with all such bodies, must ensure that the information which it holds on its citizens is stored securely and is robust against inappropriate sharing or disclosure.

To manage the provision of multi-agency services over the long term, Data Sharing Partnerships (DSPs) have been established, along the 14 Health Board boundaries. The intention is for these bodies to take ownership of the delivery of this capability, increasing incrementally the scope of data that can be shared within the eCare facility. The long term responsibility for the infrastructure to host the data sharing and the maintenance of the standards to which data should be stored will reside with the eCare Team. In recognition of the need to gain momentum in data sharing, the approach has been for the eCare Programme to support the DSPs through the embedding of resources into their organisations.

The Review Team found evidence of significant inconsistencies in the understanding between stakeholders of the scope, associated responsibilities, plans and progress of the eCare Programme. Ensuring consistency, at all levels, through the adoption of a formal communication management approach will be important for the Programme in the next stage.

The membership of the Programme Board has been recently invigorated, attracting senior representation across all sectors. This high-powered body would be well positioned to support the Programme in the take up of data sharing opportunities, which will generally require the provision of agency resources and possibly changes to working practices. The individual members of the Programme Board are also well placed to act as champions to generate enthusiasm and understanding of the opportunity for and benefits of information sharing.

This is an area where the Review Team are concerned with regard to the scope and consistent understanding of the Programme's role. If the long term role of the Programme (and hence the Programme Board) is to be a strategic driver of business change, then this level of representation is entirely appropriate. However such a strategic responsibility will demand a more executive style of operation, supported by a programme approach that allows the Programme Board to focus on strategic issues and deliverables. Whilst it is recognised there are some important, project level, decisions to be made in the short-term, this should not be typical of the level of submission to the Programme Board in the long term.

The current outcome planned is to achieve data sharing, through the eCare framework, for Child Protection and Single Shared Assessment to be complete for the 14 DSPs by March 2009. The requirement is also for the eCare framework to be developed and implemented such that it will also be able to support the emerging GIRFEC policy. The implementation approach is founded on the provision by the Programme of resources into the DSPs to facilitate this. The Review Team found great uncertainty amongst stakeholders and the team as to the implications arising from likely constraints on the 2008/9 budget.

Information has been prepared to inform the Programme Board of the implementation options available, depending on the budget outcome. However, it is not clear how the Programme Board will also be provided with the decision making criteria that will allow it to make strategic decisions based upon an assessment of business impact.

In summary, the Review Team found that the Programme could be a major enabler to the transformation in the delivery of the key services that support directly a number of the strategic policies of the SG and the wider public sector. Going forward it is essential that the scope of the Programme's role is agreed and communicated effectively, leading to the adoption of programme plans and governance that reflect those responsibilities.

The overall Report Status is **RED**.

4. **Summary of Recommendations**

The Review Team finds that the following recommendations are:-

4.1 Critical for immediate action - **RED**, i.e. to achieve success the programme should take action immediately to address the following recommendations:

That the Programme Board urgently determine the strategic responsibilities of the eCare Programme. These responsibilities should then be widely communicated and lead to a review of the Programme structure and governance.

That the Programme Team sets out urgently the options and business based decision criteria that will allow the Programme Board to determine the strategic priorities within the available budget envelope. It is essential that the chairs of the DSPs are engaged fully in the preparation of the inputs and advised of the implications of the decisions taken.

4.2 Critical before next review – **AMBER**, i.e. the programme should go forward with actions on the following recommendations to be carried out before the next Gateway Review of the programme:

That the Programme Team establish a formal communications plan to ensure that all parties have consistent and appropriate understanding of the scope, plans and activities of the Programme. The scope of the planning should include the medium and long term horizon.

That the SRO reviews the Programme Team structure to introduce appropriate levels of both project and programme planning. This review should also include the processes required to support the Programme Board.

4.3 Potential Improvements – **GREEN**, i.e. the programme is on target to succeed but may benefit from uptake of the following recommendations:

None

Findings

4.4 Policy and Organisational Context

The establishment of the eCare Framework to enable better service delivery through the use of IT contributes clearly to existing and emerging policies and the SG organisational environment. The policies supported by the Programme include; Better Health, Better Care, GIRFEC and Joint Futures.

The governance arrangements have been reviewed to ensure that they are appropriate for the Programme as it moves to a phase that includes business change. The changes include several new appointments to the Programme Board. The Review Team comments elsewhere in this report over concerns that the responsibilities of the Programme Board and the scheduling of its meetings be reviewed to ensure that they are aligned to the mandate, objectives and deliverables of the Programme.

There is evidence that the approach to the Programme's management arrangements have been somewhat tactical over the years, being dependent on the availability of seconded staff and in-year funding. This approach has been satisfactory during the mobilisation phase, but should the Programme's mandate be amended to take in more strategic responsibilities, then a long term planning approach needs to be adopted. Such an approach has begun, with the appointment of a senior manager in the role of SRO and the senior representation at the Programme Board, but the status of the team members does not as yet reflect the change.

The topic of the sharing and disclosure of citizen information and associated security issues is one of high visibility and public concern. There are a number of Programmes within government departments that are addressing the issues of data sharing and which offer the opportunity for lessons to be learned by the eCare Programme. In addition, there would be benefit of the ISIS group providing a formal assurance function for the data sharing standards brought forward by the Programme.

Recommendations:

None

4.5 The Business Case: Scope and Stakeholders

In recent years there has been a growing recognition of the value that can be derived in service provision to the citizen through the sharing of personal information or data that is held in different agencies. At the same time, the importance of holding data securely has become increasingly a matter of public concern.

In response to these issues, the eCare Programme has been given responsibility to establish a technology framework through which multiple agencies can share data securely. A pragmatic approach has been adopted to ensure that the solution becomes proven before its use is more widely promoted. This has led to the selection of two services (SSA and CPM) as pilots through which to prove the business benefits. This has resulted in a project level initiative to both establish the framework and to implement the working practices within the local agencies. The connection of local agencies to the eCare framework is managed and coordinated by 14 Data Sharing Partnerships organised along Scottish Health Board boundaries.

The guiding principle underpinning the approach has been to ensure that the work is 'practitioner-led and technology-enabled'. The initiative has already progressed, evidence has started to emerge that substantiates the business benefits originally envisaged. Indeed the availability of the framework has already started to act as a catalyst for other business users or policy owners to consider the potential for their areas of responsibility.

The current commitments and resourcing of the programme are limited to the completion of the roll out of the 2 pilot services in each of the 14 DSPs, along with bringing forward and maintaining standards in relation to multi-agency sharing of data through the eCare Framework. There has also been some initial work started to define further the data and technical standards required to support the developing integrated children's agenda. (GIRFEC)

As the concept becomes a reality and the benefits that can be achieved through multi-agency data sharing can be readily seen, this is generating widespread stakeholder support. The opportunity for SG to build on this was also very apparent in the clear Vision and enthusiasm demonstrated by some senior managers about the potential for this to make a real change to the lives of Scottish citizens.

The concern for the Review Team is that this recognition of the potential of extending the eCare programme could lead to pressure on the SRO and Programme Team for delivery of outcomes that outstrips both the responsibilities and resources of the existing eCare Programme team. The experience of other programmes would indicate that a risk to the programme at this stage is that its scope is defined by local constraints rather than by business priority. The recent construction of a Programme Board, bringing together senior managers from the various sectors indicates a growing awareness of the potential business benefits and the need to treat this as a change programme. Yet, the Review Team found evidence that whilst the scope of the initiative is gravitating towards that of a strategic change programme, the planning and daily activities are more representative of a project level focus.

Recommendations:

Recommendation 1: (RED)

That the Programme Board urgently determine the strategic responsibilities of the ECare Programme. These responsibilities should then be communicated widely and lead to a review of the Programme structure and governance.

Recommendation 2: (RED)

That the Programme Team sets out urgently the options and business based decision criteria that will allow the Programme Board to determine the strategic priorities within the available budget envelope. It is important that the chairs of the DSPs are engaged fully in the preparation of the inputs and advised of the implications of the decisions taken.

4.6 Review of Current Phase

Not Appropriate

4.7 Management of Intended Outcomes

There has been a pragmatic approach to the scope and management of the Programme, seeking to initially establish the technology framework and prove the capability through the implementation of two initial processes, SSA and Child Protection. To provide for the long-term continuity of the initiative, Data Sharing Partnerships (DSPs) have been established along Health Board boundaries. The current scope of the Programme is constrained to the connection of local agencies in each DSP to the eCare framework in support of these two processes. Rollout is planned to be completed by April 2009.

This active limiting of the Programme scope has allowed progress to be achieved without attracting pressure to over-commit. The current intended outcomes are centred around the completion of the implementation of SSA and Child Protection within the Western Isles and North Ayrshire DSPs leading to a national rollout to the remaining 12 DSPs by April 2009. Whilst these outcomes are reported to be on-track, the Review Team were concerned whether in fact all parties agree on what constitutes completion and how the national rollout will be actioned.

With the Programme facing funding pressures that might extend to limitations on the resources available for the national rollout, the Programme would benefit from the introduction of pre-determined acceptance criteria, with the sign-off authority being at executive level in the DSP. To support sustainability, these criteria could include, along with technical and service level achievements, those aspects that reflect commitment from the DSP organisation. Such examples of commitment could include:

- the future funding of the DSM role;
- agreement on the identification and reporting of the business benefits, providing both qualitative and quantitative evidence that would support the decision making process to extend the scope to further service areas; and
- identification of business users to support the assessment and measurement of further service areas to make use of the platform, providing supporting evidence for a future business case(s).

The establishment of such acceptance criteria could also be useful to the Programme Board should it need to determine priorities in the event that funding is not available for full national rollout in the next year to April 2009. The Programme Board would be able to determine priorities informed by the commitment of individual DSPs.

Recommendations:

None

4.8 **Risk Management**

The programme team has developed a risk register, operating within a risk management regime.

The risks identified in the risk register reflect the limited scope of the Programme at this stage, i.e. the project level drive to achieve the rollout of SSA and Child Protection to the 14 DSPs.

Depending on the outcome of the SRO's review of the scope of the Programme, it may be appropriate to refresh the risk register to reflect Programme level risks, reflecting a business change scope.

Recommendations:

None

4.9 Readiness for Next Phase

It follows from the comments made earlier in this report that the readiness of the Programme to move into the next phase is largely dependent upon the future scope of the Programme.

The options for scope would seem to range from:

- 1) Limited to the completion of the planned rollout for SSA and Child Protection to the 14 (or a smaller number) of DSPs;

To:

- 2) A long term role to drive continual service improvement through an active role to introduce the enablement of service improvements to further services on an incremental basis.

The scope identified under 1) might see the Programme manage a closure process during 2008/9, completing the national rollout and ensuring that the DSPs are positioning to continue momentum. This scope might require the ongoing responsibility for the operational management of the eCare Framework to be transferred to an appropriate SG organisation experienced in the management of post implementation support environments. The Review Team view is that the Programme would be well positioned to manage such an outcome.

The scope identified under 2) would require a long-term planning approach to all aspects of the Programme, including:

- the identification and prioritisation of services to be implemented;
- the resourcing and funding arrangements of the Programme team,
- the linking of the Programme to other Programmes containing aspects of data sharing.

The Review Team considers that the current Programme structure and management arrangements would not be positioned to manage such a scope of responsibility, without some fundamental changes to the programme management approach, resources and ability to link with other programmes.

The SRO has identified the need to determine the future role of the Programme. This is timely. Should this lead to long-term responsibilities, with the Programme being 'on the cusp' with key decisions required if the scope and responsibilities are not to become confused between stakeholders. The potential benefits of the enablement of service improvements offer significant opportunity for the SG and if the eCare Programme is not to be the vehicle through which these will be delivered, then another 'organisation' needs to be identified in whom this responsibility will be invested.

Recommendations:

Recommendation 3:

That the SRO reviews the Programme Team structure to introduce appropriate levels of both project and programme planning. This review should also include the processes required to support the Programme Board.

Recommendation 4:

That the Programme Team establish a formal communications plan to ensure that all parties have consistent and appropriate understanding of the scope, plans and activities of the Programme. The scope of the planning should include the medium and long term horizon.

5. **Previous Gateway Review Recommendations**

Not Appropriate

6. **Next Gateway Review**

The next Gateway Review 0 is expected in January 2009, or at a time determined by the SRO to be of most benefit following the review of and decisions on the future role of the Programme.

7. **Distribution of the Gateway Review Report**

The contents of this report are confidential to the SRO and their representative/s. It is for the SRO to consider when and to whom they wish to make the report (or part thereof) available, and whether they would wish to be consulted before recipients of the report share its contents (or part thereof) with others.

The Review Team Members will not retain copies of the report nor discuss its content or conclusions with others.

A copy of the report is lodged with the Scottish Government's Centre of Expertise (CoE) for Programme, Policy and Project Delivery so that it can identify and share the generic lessons learned from Gateway Reviews.

The CoE will provide a copy of the report to Review Team Members involved in any subsequent review as part of the preparatory documentation needed for Planning Meetings.

Any other request for copies of the Gateway Report will be directed to the SRO.

PURPOSES OF A GATEWAY REVIEW 0: STRATEGIC ASSESSMENT

- Review the outcomes and objectives for the programme (and the way they fit together) and confirm that they make the necessary contribution to the overall strategy of the organisation and its senior management
- Ensure that the programme is supported by key stakeholders
- Confirm that the programme's potential to succeed has been considered in the wider context of Government policy and procurement objectives, the organisation's delivery plans and change programmes, and any interdependencies with other programmes or projects in the organisation's portfolio and, where relevant, those of other organisations
- Review the arrangements for leading, managing and monitoring the programme as a whole and the links to individual parts of it (e.g. to any existing projects in the programme's portfolio)
- Review the arrangements for identifying and managing the main programme risks (and the individual project risks), including external risks such as changing business priorities
- Check that provision for financial and other resources has been made for the programme (initially identified at programme initiation and committed later) and that plans for the work to be done through to the next stage are realistic, properly resourced with sufficient people of appropriate experience, and authorised
- After the initial Review, check progress against plans and the expected achievement of outcomes
- Check that there is engagement with the market as appropriate on the feasibility of achieving the required outcome
- Where relevant, check that the programme takes account of joining up with other programmes, internal and external
- Evaluation of actions taken to implement recommendations made in any earlier assessment of deliverability.

APPENDIX B

List of Interviewees:

Name	Organisation/Role
Robert Forman	Programme Manager
Linda Rosborough	SRO
Ruth Parsons	Director, Public Sector Reform
Dolina McKay	Social Care, Western Isles DSP
Edith Young-McArthur	DSM, Forth Valley
Mike Martin	Head of Partnership, Improvement & Outcomes Division.
Arlene Stuart	Implementation Manager
Sheila Scott	Chair, Western Isles DSP
Harriet Dempster	Director of Social Work, Highland Council
George Brechin	Chief Executive, NHS Fife
Colin McLean	Director Children, Young People, and Social Care
Ian Barclay	Head of IT Security, ISIS
Stephen Duffy	DSM, Ayrshire & Arran