



Dumfries and Galloway
IJB Audit and Risk Committee

9th September 2021

This Report relates to
Item 10 on the Agenda

Data Sharing Progress Report

Paper presented by Graham Gault

For Noting

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List of Background Papers:	
Appendices:	Appendix 1 – Audit, Risk and Scrutiny Committee Workshop Note 16 th June 2021

1. Introduction

- 1.1 This report presents updates on the Improving Information Data Sharing Scrutiny Reviews.

2. Recommendations

2.1 The IJB Audit and Risk Committee is asked to:

- Note the updates provided

3. Background and Main Report

3.1 Background

- 3.2 The Improving Information Data Sharing Scrutiny Review required a follow up workshop and report as proposed in the timeline of the original reports. The review details are noted below:

- Improving Information Data Sharing, approved by Council in December 2018

- 3.3 The D&GC Audit, Risk and Scrutiny Committee agreed to conduct a follow-up workshop on the aforementioned scrutiny review at its meeting on 1 June 2021, with the workshop planned for 16 June 2021.

3.4 Improving Information Data Sharing

- 3.5 At the workshop, Business and Technology Solutions and NHS officers presented a progress update to Elected Members on the recommendations of the report. These recommendations are as follows:

- Recommendation 1: Electronic information data sharing systems should be enabled to share basic information by the end of 2018. This should include the assurance that information sharing agreements are in place and approved by Dumfries and Galloway Council Legal Services
- Recommendation 2: Dumfries and Galloway Council should ensure the reporting and monitoring of the transition phase, which will include staff from the Council and NHS Dumfries and Galloway sharing increased amounts of information through a secure system
- Recommendation 3: Consider the scope for improving data sharing further across all sectors beyond 2019 as confidence and initial benefits are realised
- Recommendation 4: To make full use of mobile technologies for practitioners in the field to access and update data for clients
- Recommendation 5: Develop a single consent process for clients, including a review and update process for additional permissions and changes to circumstances
- Recommendation 6: Through improved data sharing, maximise the opportunity to schedule work across the Council and NHS Dumfries and Galloway in the most efficient and effective way to benefit

- 3.6 The progress update noted in **Appendix 1** highlights that significant progress has been made in relation to the recommendations of the review, with it being noted that both parties are now in a position for practitioners to lead on improvements as the technical work has been completed

- 3.7 Members in attendance at the workshop were satisfied that substantial progress

had been made since the recommendations were approved.

3.8 Next Steps

3.9 In terms of monitoring and evaluating the implementation of the Scrutiny Review recommendations, the process, as it is laid out in the initial reports and in line with the Scrutiny Handbook, has now been completed.

4. Conclusions

4.1 Members are asked to note the updates provided.

5. Resource Implications

5.1 Since its inception this project has been resourced from existing compliments. As the level of data sharing complexity increases consideration should be given to setting up a dedicated team.

5.2 The scope of taking this project forward has not yet been defined. Budget estimation should be carried out as part of the newly appointed project managers review as a priority when appointed.

6. Impact on Integration Joint Board Outcomes, Priorities and Policy

6.1 This work will see the delivery of integrated services, however there are no changes to existing policies, priorities or outcomes

7. Legal and Risk Implications

7.1 This project is centred around the sharing of confidential information in compliance with GDPR and the appropriate protection required. There is significant risk, unless properly managed, that accidental data release both internally and externally could occur.

8. Consultation

8.1 This is an update report on project progress, so consultation, other than with those involved in the project, is not required.

9. Equality and Human Rights Impact Assessment

9.1 There is no change to policy so an EQIA is not required.

10. Glossary

10.1 All acronyms must be set out in full the first time they appear in a paper with the acronym following in brackets.

EQIA	Equalities Impact Assessment
IJB	Integration Joint Board



AUDIT RISK AND SCRUTINY COMMITTEE – WORKSHOP
Wednesday 16 June 2021
On Teams

**Follow Up Workshop on ‘Growing the Local Economy through the Procurement Process’
and ‘Improving Information Data Sharing’ Scrutiny Reviews**

Present:

Committee Members

Jane Maitland
Archie Dryburgh
Stephen Thompson
David Inglis
David Stitt
David McKie
Katie Hagmann

Other Members

Iain Howie

Officers

Kevin Geraghty – Internal Audit Manager
Fraser Davies – Improvement Development Officer
Stephen Atherton – Procurement & Commissioning Manager
Graeme McIlorum – Business & Technology Solutions Manager
Graham Gault – General Manager, ICT, NHS Dumfries & Galloway

Other Officers

Keith Munn – Procurement Officer
Chinedu Ezek – Procurement Officer
Rebecca Scott – Trainee Procurement Officer
Deborah Burns – Trainee Procurement Officer
Terri Trainor – Trainee Procurement Officer
Shonagh Henderson – Trainee Procurement Officer

Introduction

This workshop was intended to provide Elected Members with a follow up to two Scrutiny Reviews:

- Growing the Local Economy through the Procurement Process, approved by Full Council in March 2019
- Improving Information Data Sharing, approved by Full Council in December 2018

Follow up to the Growing the Local Economy through the Procurement Process Scrutiny Review

The Procurement & Commissioning Manager provided Elected Members with a progress update on the eight recommendations from the Scrutiny Review, and Members were invited to raise any queries they had.

It was highlighted that the recommendations were to contribute support to the local economy, however during implementation the review was impacted by the FTP review of Procurement Standing Orders which somewhat 'overtook' the recommendations of this scrutiny review. Despite this, it was noted that progress had been made on most of the recommendations.

Recommendation 1: The Council's Economic Development and Procurement and Commissioning Services will work together on a co-ordinated programme of support for local businesses to enable businesses to tender for Council goods, works and services

- There is a proposal for a short, written guide to be produced, to provide suppliers with assistance in taking part in the procurement process. There is to be a role in the Procurement Team which will include amongst its tasks, responsibility for ensuring this guide is kept up to date
- Members raised examples of small businesses facing challenges with navigating the procurement process, however the above guide would assist with this, addition to improvements to the procurement process being implemented through the FPT review, such as the renewal of Standing Orders
- As part of the Community Wealth Building initiative, the Procurement Team has access to 'Grow Local', a database which gives details on local businesses, the work that they get from the Council, and more widely across the public sector. As this is new to the Council, the Procurement Team is currently learning how to make the most of this information

Recommendation 2: The Council will implement social value evaluation criteria within appropriate Council tenders and provide training for Small and Medium Enterprises (SMEs)

- Social value criteria are well established in most tenders, although further work will improve the relevance of social value benefits
- Several local authorities, such as North Ayrshire Council and Perth and Kinross Council, have developed 'shopping lists' of community benefits for suppliers to choose from. DGC Procurement plans to make use of this concept in the future, creating a list of community benefits in line with Council priorities as opposed to Service level objectives
- Noted that turning social value benefits into reality was a common challenge across local authorities

Recommendation 3: The Council will operate a 'Meet the Buyer' event for Dumfries and Galloway businesses, providing support and guidance on the procurement process

- A Meet the Buyer event took place in 2019
- The Procurement Team plan to hold a Meet the Buyer 'surgery' at the beginning of 2022, to allow businesses to meet those involved in procurement across the Council and to allow suppliers to find out how to complete the relevant paperwork. This will also raise awareness of contract opportunities with local businesses. Future events will be 'all day' events, to

allow suppliers the opportunity to attend as their work allows, with the additional option of online events

- Additionally, the use of social media, such as Facebook, to raise awareness of contract opportunities is currently being explored

Recommendation 4: The Council will create a promotional programme to inform Elected Members, Council Services, local residents and businesses on what procurement is, the programme to include signposting to the Council's Comment, Compliment and Complaints process and the Scottish Government's Single Point of Enquiry service for public sector suppliers

- A number of actions relating to other recommendations support this particular recommendation, such as Meet the Buyer events and the use of social media, helping to raise awareness of what procurement is and upcoming opportunities, improving Council engagement with local suppliers
- Ongoing work relating to the formation of an accurate contracts register will support activity relating to this recommendation, allowing a picture to be formed of what contracts are in place and future opportunities
- Discussions surrounding Comments, Compliments and Complaints suggested that fairness was a concern with businesses, however it was noted that this perception issue would be tackled through the temporary centralisation of procurement activity, as per the FPT review

Recommendation 5: The Council will rationalise its business processes and systems for ordering and payment activities across the Council to improve payment performance for our suppliers and implement an early payment programme

- The Council has implemented a Purchase to Pay system, allowing purchase orders to be linked to contracts and improving the ordering and payment process. There will be a continued centralisation aspect to procurement transactions, with transactions taking place in the central system, and if necessary, exported to other systems if required. This improves controls and ensures there is 'one version of the truth'
- An Early Payment Programme was explored, which would enable suppliers to receive payment more quickly with the Council receiving a discount in return, however due to the pandemic this was placed on hold. The focus was on ensuring suppliers' cash flow, by focussing on payment within the standard 30 days. This will be explored in the future at a more suitable time

Recommendation 6: The Council will review its Scheme of Delegation to Committees to investigate the opportunity to develop a process for Elected Members to discuss and scrutinise procurement activity in more detail and how procurement is operated in the Council, emphasising that this is an open and transparent process

- The FPT review significantly supports this recommendation, and actions resulting from this review will enable this recommendation to be fully implemented

Recommendation 7: The Council will provide recorded feedback to all businesses bidding for works valued at over £2k

- Providing feedback for all procurements above £2000 would not at this point prove cost effective or resource efficient. However, this will be kept under constant review to determine whether or not this could be accommodated

- Debriefs for suppliers are provided more frequently compared to 2019, most frequently for contracts worth over £20,000-£50,000, giving guidance on how businesses can improve their bids in any future opportunities

Recommendation 8: The Council will review and establish the appropriate level of resource to adequately provide support to SMEs that will meet the ambitions of the Council's priority to build the local economy

- Improving engagement with local suppliers and better enabling them to access Council contract opportunities will allow procurement to support the local economy
- The Officer working group will allow oversight and input to procurement activities at a corporate level, potentially allowing for local options to be considered

Summary

In summary, significant progress has been made and will continue to be made in relation to both the individual recommendations of the review, as well as the primary aim of the review, that of utilising procurement to grow the local economy.

Workshop Conclusion

Members attending the workshop indicated that they were content with the progress made to date and with planned future activities and were aware that the local context had somewhat changed from the time of the Scrutiny Review, due to the FPT review.

Follow Up to the Improving Information Data Sharing Scrutiny Review

A paper on data sharing recently considered by the Integration Joint Board had been circulated prior to the workshop for Members' further information. The Business and Technology Solutions Manager, supported by the NHS Dumfries & Galloway General ICT Manager provided an update on the six recommendations of this review, taking questions from Members on the developments reported.

Recommendation 1: Electronic information data sharing systems should be enabled to share basic information by the end of 2018. This should include the assurance that information sharing agreements are in place and approved by Dumfries and Galloway Council Legal Services

- Several activities have been completed in relation to this recommendation, including:
 - Information Sharing Protocol
 - This was subsequently reviewed in December 2019 to meet the Scottish Government Data Sharing Framework protocol, and comprises the Agreement itself, which contains the legal obligations of both parties (such as GDPR), and a Data Catalogue, listing the types of data the agreement covered. This Data Catalogue enables the Data Sharing Agreement to be more easily updated when new data is shared
 - Both parties Legal teams have approved the agreement
- The Community Health Index (CHI) number, which is a unique identifier, has been used to improve data sharing, with matching in place. This allows a Social Work service user to be matched/linked to an individual in NHS systems

Recommendation 2: Dumfries and Galloway Council should ensure the reporting and monitoring of the transition phase, which will include staff from the Council and NHS Dumfries and Galloway sharing increased amounts of information through a secure system

- A Data Sharing Board was set up shortly after the recommendations of the Scrutiny Review were agreed and a programme of work subsequently developed
- DGC was given access to the NHS Portal, which allowed Social Work access to NHS data and similarly, NHS staff access to Social Work data. This Portal summarises in one place client information from numerous systems
- A major upgrade to Mosaic, the main system utilised by Social Work, took place in October 2020, allowing the system to be put into a secure cloud environment, allowing members of the public to access their own information, securely, utilising their My Account and enabling automated data sharing
- Access from NHS locations to DGC systems and vice versa, evidenced very good interconnectivity

Recommendation 3: Consider the scope for improving data sharing further across all sectors beyond 2019 as confidence and initial benefits are realised

- Improvements have allowed more detailed information to be shared, currently at ISP (Information Sharing Protocol) Level 2, anticipating a movement to Level 3 by the end of 2021. It was noted that this is a practitioner agreed and led process
- NHS staff with authorisation can directly log in to Mosaic if more detailed information is required, on a read-only basis. The NHS are currently undertaking contractual conversations with their supplier Orion, with the aim for both organisations to be able to view summary client information in their own systems in a more streamlined manner
- Microsoft Teams has enabled improved collaboration between the organisations

- The telephony has been improved, involving 'skill based routing', which allows for a client to be put to the correct place as quickly and effectively as possible
- There is now a Single Point of Contact for Social Care, staff in this hub have access to all relevant systems
- The Covid-19 response meant that the data sharing further developments had to be paused for a number of months

Recommendation 4: To make full use of mobile technologies for practitioners in the field to access and update data for clients

- Agile working was introduced to Social Work in 2019, including laptops and mobile phones
- Remote access to emails and Social Work systems in place by September 2019
- Enhancements to remote access were made in 2020, allowing remote access to all Social Work systems
- Future opportunities include 'online self-service' for clients and for practitioners and GPs to be able to update client records, which have been enabled due to the previously noted move to the cloud environment
- The NHS have enabled over 1000 community based staff with technologies, including iPads, whereby they can access relevant records and complete documents electronically when visiting clients

Recommendation 5: Develop a single consent process for clients, including a review and update process for additional permissions and changes to circumstances

- A single consent process is currently being considered, which will require systems in both organisations to be further linked
- DGC is seeking to move this forward through the use of the national My Account verification and authentication software, in addition to 'Multivue', to allow information to be shared routinely and quickly across multiple systems – i.e. a 'tell us once' type arrangement
- Consent management is a challenge across the NHS due to differing views across departments and partners, partly due to sensitive information being held
- The risk of data proliferation is mitigated by DGC through the core data that is shared being held on a separate database, which is a more stable environment. The NHS Portal manages this risk due to the Portal providing a real time view of data, rather than data moving across systems

Recommendation 6: Through improved data sharing, maximise the opportunity to schedule work across the Council and NHS Dumfries and Galloway in the most efficient and effective way to benefit

- Noted that whilst this has not been completed locally, the Scottish Government and National Services Scotland are looking into this at a national level. DGC is currently awaiting updates from these bodies
- The NHS, being governed a national level as a single body, faces challenges with working with 32 local authorities

Summary

Now that the technical solutions are in place, both parties are in a position where practitioners can define what happens next. This evidences a significant milestone in improving information data sharing.

Workshop Conclusion

Members attending the workshop were satisfied with the progress that has been made since the review recommendations were agreed.