Council, 22 March 2016

Information Technology Department Work Plan 2016-2017

Executive summary and recommendations

Introduction

The Information Technology department work plan for the period 1 April 2016 to 31 March 2017 is attached.

Decision

The Council is invited to discuss the attached document.

Background information

None

Resource implications

The resourcing of the Department is set out in the attached work plan.

Financial implications

The financial implications of the planned work are accounted for in the Information Technology budget for 2016-2017.

Appendices

See paper.

Date of paper

13 March 2016

Information Technology Work Plan 2016 – 2017

First published in March 2016

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Contents

1 Executive Summary

There follows a summary of the achievement during the 2015-16 fiscal year and the planned activity during 2016-17. The detail behind the summary is available in the relevant section of the work plan along with resource information.

How the objectives were achieved in 2015-16

The IT department has supported the delivery of eleven major projects including:

1.1 Education system build project.

1.2 HR and Partners system build project.

1.3 Migration of the email service.

1.4 Registration process and systems review.

1.5 Telephone credit card automation and hosting change.

The IT department has delivered twenty departmental projects which are either complete or on plan for completion, including:

1.6 Displacement of technologies.

1.7 Extend the functionality of O365.

1.8 Independent security testing.

1.9 IT survey.

1.10 NetRegulate platform refresh.

Achieving the objectives in 2016-17

The IT department will support the delivery of nine major projects including:

1.11 HCPC website review and build.

1.12 Registrations transformation and improvement project.

1.13 PCI security standards compliance.

The IT department will deliver twenty two departmental projects including:

1.14 Alternative disaster recovery hosting provision.

1.15 Intranet migration.

1.16 Telephony system development cycle.

Service catalogue

The IT department will support twenty IT services including the service desk incident management function.

2   Introduction

2.1   The primary purpose of the HCPC as set out in Article 3 (4) of the Health and Social Work Professions Order 2001 is:

'To safeguard the health and well-being of the persons using or needing the services of registrants'.

2.2   The HCPC does this through six strategic objectives.

The IT work plan supports and enables the business to realise the primary purpose through the achievement of the business objectives.

2.3   As the Health and Care Professions Council (HCPC) continues to develop it maintains a cycle of continuous quality improvement to its business processes, procedures and policies.

2.4   The IT function continues to implement appropriate and proportionate changes that provide solid foundations to support the cycle of change as the HCPC evolves.

2.5   As an internal service provider, the IT department operates proactively managed services to enable business processes to function.

However, a significant element of the service is reactive. This reflects the occurrence of service incidents, as well as changes to the business priorities as HCPC adapts to the changing external environment.

2.6   The challenge facing the IT department is to manage the conflicting demands of both reactively and proactively provided services without hindering business momentum.

This continues to be achieved as we deliver substantial changes to the IT infrastructure introducing business led services.

2.7   The overall aim of the IT function is to improve business efficiency and effectiveness whilst delivering value for money. These aims will be achieved through a risk based approach adopting a process of evolution rather than revolution.

2.8   This work plan supports the HCPC strategic intent document[1] and the IT strategy and defines the current information technology services provided as well as the work priorities and objectives for the financial year 2016-17.

2.9   This document provides a basis against which the work of the IT department can be planned and measured.

3   Equality and Diversity Scheme

3.1   The IT department does not have any specific action points under the HCPC equality and diversity scheme but plays an important role in the delivery of action points in other business areas.

3.2   The IT department continues to address specific individual needs as identified by department managers and ensures that technical standards are embedded into projects to address areas of accessibility such as W3C guidelines for web development.

4   Human resources

4.1   The IT Department consists of ten and a half full time equivalent employees but will be expanded to eleven and a half full time equivalents in 2016-17:

Guy Gaskins   Director of Information Technology

Jason Roth   IT Infrastructure Manager
Andy Sabapathee   IT Infrastructure Engineer
Richard Watling   IT Infrastructure Engineer
Ken Yu   IT Infrastructure Engineer
Vacant   IT Infrastructure Support Engineer

Rick Welsby   IT Service Support Manager
Greg Legendziewicz   IT Support Analyst
James McMahon   IT Support Analyst
Elandre Potgieter   IT Support Analyst
Vacant   IT Support Analyst

Alex Loder   Administration support (half full time equivalent)

4.2   Director of Information Technology

The role has overall accountability for the IT provision at HCPC and sets the IT strategic direction to support the business strategy. The position is responsible for the security and integrity of the IT infrastructure and systems, as well as providing support to and the development of the core applications of the organisation.

The role is increasingly important in the definition and delivery of strategic business change projects.

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[1] Strategic Intent Document 2016 – 2020 first published Jan 2016

4.3   Service Support Team

4.3.1   IT Service Support Manager

The role is responsible for the service desk function and manages the IT Service Support Analysts. Additionally, the role is responsible for maintaining our bespoke database application environment providing specialist application services.

4.3.2   IT Service Support Analyst

The role reports to the IT Service Support Manager and has responsibility for the identification and resolution of incidents within the IT infrastructure. The role is the first point of contact between the users and the IT department; they operate the service desk function and provide first and second level support for PC and business application services.

4.3.3   IT Administration Support

This role reports to the Service Support Manager and provides administrative support for the department.

4.4   Infrastructure Support Team

4.4.1   IT Infrastructure Manager

The role is responsible for the network and server hardware infrastructure support and development including backup and recovery, availability, IT continuity and capacity management.

4.4.2   IT Infrastructure Engineer

The role reports to the IT Infrastructure Manager and supports the network and server hardware infrastructure for both locally and remotely hosted services.

4.4.3   IT Infrastructure Support Engineer

The role reports to the IT Infrastructure Manager. As an entry level infrastructure role it supports the administration and monitoring of the network and server hardware infrastructure.

5 Financial resources

5.1 This work plan assumes an operating budget of £2,076,000 and a capital budget of £99,000.

	2015-16 Budget (,000) (9 mth reforecast)	2016-17 Budget (,000) (to be confirmed)	% difference
Operating Expenditure	£1,886	£2,076	10
Capital Expenditure	£35	£99	282

5.2 The increase in operating expenditure predominantly reflects:

- The additional costs for the 405 Kennington Rd building;
- The additional costs for the secure credit card payment service;
- The change in accounting thresholders for capital expenditure;
- Increased head count for the HCPC; and
- Full year costs of the new Education IT system.

5.3 The increase in capital expenditure is mainly due to:

- The replacement of key infrastructure components.

6 How the IT objectives where achieved in 2015 – 2016

Progress against the objectives set can be summarised as:

6.1 Information Technology Objective 1:

To drive efficiencies within the organisation by the use of Information Technology and Information Systems, we will:

6.1.1 Education systems build.
To implement the changes in systems and process identified in the phase 1 process and systems review project.

- The first delivery is complete and the second delivery is on plan

6.1.2 Fitness to Practice case management system changes.
To implement a series of small functional improvements to the case management system as a package of changes.

- This was not started due to a dependency on another project.

6.1.3 HR & Partner systems build.
To implement the changes in systems and process identified in the phase 1 process and system review project.

- This is delivering to project schedule.

6.1.4 NetRegulate system improvement.
Implement a series of small functional improvements to the NetRegulate Registration system as a package of changes.

- This was replaced by the Registration transformation and improvement project.

6.1.5 Registrations process and systems review.
To review the systems and processes of the Registration department and if appropriate define new processes and identify a technology solution to support the department.

- This is complete.

6.1.6 Registrations system build project.
To implement any of the findings of the Registration process and systems review project subject to an adequate business case.

- This is delivering to schedule.

6.1.7 Displacement of technologies.
This project will extend the pilot project carried out in 2014-15 and apply the changes to whole desktop infrastructure. The project will remove technologies from the HCPC infrastructure and replace them with Microsoft technology that the HCPC already own the rights to implement.

- This is complete.

6.1.8 Document a desktop infrastructure strategy.
This activity will document a medium and long term horizon view for desktop infrastructure. This will be used to plan and inform future change activities.

- This is complete.

6.1.9 Document an infrastructure strategy.
This activity will document a medium and long term horizon view for the key infrastructure functions. This will be used to plan and inform future change activities.

- This is complete.

6.1.10 Extended use of iPads.
This project builds upon the successful implementation of iPads for Council members. The aim is to extend the use of iPads to the Executive following feedback from Council.

- This is delivering to schedule.

6.1.11 Migrate key IT services to a virtual environment.
This project will follow the project to migrate the HCPC mail service to Office365. It will virtualise the legacy Domino environment as well as the network file storage.

- This is delivering to schedule.

6.1.12 Replace legacy servers.
This project will replace a number of legacy servers to maintain support for hardware and compatibility with software.

- This is complete.

6.2 **Information Technology Objective 2:**

To apply Information Technology within the organisation where it can create business advantage we will:

6.2.1 Fees review.
Undertaking a review of registrant fees and potentially entering into consultation with registrants. Subsequently communicating any changes to registrants.

- This is complete.

6.2.2 Migration of email service.
Migration of the corporate mail service from Domino/Lotus Notes to Exchange/Outlook. This will enable the tighter integration of other technologies to the email infrastructure.

- This is complete.

6.2.3 Opening the public register for Public Health Specialists.
To open a part of the register for Public Health Specialists.

- This project was withdrawn.

6.2.4 Professional Qualifications Directive implementation project.
To determine how the HCPC will remain compliant with the changing

European Directive.

- This is complete.

6.2.5 Stakeholder contact management system.
Implementation of customer relationship management system to maintain all external stakeholder information that is not managed by transactional systems.

- The IT elements are complete.

6.2.6 Document a mobile telephony strategy.
This activity will document a medium and long term horizon view for the key mobile telephony functions. This will be used to plan and inform future change activities.

- This is complete.

6.2.7 Extend the functionality of Office365.
This project will review the effectiveness of the migration of mail services to Office365 and deliver a number of changes to extend and improve the use of the Office365 platform.

- This is complete.

6.2.8 Intranet migration.
Support the Communication department in the migration of the HCPC intranet to the Office365 platform.

- This is waiting on business resource.

6.2.9 Migrate Microsoft databases to an encrypted format.
This project will migrate existing Microsoft databases to an encrypted format where appropriate.

- This is complete.

6.2.10 Perform independent security testing.
This activity will manage the security testing of the HCPC infrastructure by an independent body. The testing will be run several times throughout the year and will mitigate the risk following changes to the environment or be run as part of standards compliance.

- This is complete.

6.2.11 Telephony system development cycle.
This project will manage up to two controlled releases of changes to the HCPC telephone system to reflect developments requested by the business teams.

- This is complete.

6.2.12 Upgrade the Desktop environment.
This project add additional monitors and hands free telephone headsets to improve the productive desktop environment.

- This is complete.

6.2.13 Video conferencing review.
To review the Hearing function requirement for video conferencing with the aim of creating a more flexible and mobile service.

- This is complete.

Information Technology Objective 3:

To protect the data and services of HCPC from malicious and unexpected events we will:

6.2.14 Support a vendor software audit of environment.
This activity will support the external audit of the environment for software licence compliance and any subsequent actions.

- This was withdrawn.

6.2.15 PCI / DSS.
Review of our obligations under the PCI/DSS (payment processing) legislation plus implementation of any changes that we need to make to technology or process.

- This is delivering to schedule.

6.2.16 Sage and PRS upgrade.
To implement an upgrade to the Sage and purchase order system (PRS) financial systems.

- This is complete.

6.2.17 Upgrade NetRegulate platform.
Implement a platform refresh of the NetRegulate system to take advantage of key feature enhancements to improve availability;

- This is delivering to schedule.

6.2.18 Telephone Credit Card Automation and hosting change.
To change our telephone credit card processing system to remain within technology support.

- This is delivering to schedule.

6.2.19 Upgrade enterprise document and records system (Sharepoint).
This project will upgrade the current FTP implementation of Sharepoint to the most recent version to retain compatibility with other software.

- This is delivering to schedule. Currently in user acceptance testing.

6.2.20 Upgrade switch infrastructure.
This project will resolve an existing authentication issue by either configuration of the switches or if this is not possible by their replacement.

- This has been delayed due to compatibility issues with the vendor supplied equipment.

6.2.21 Upgrade supporting systems.
Implement upgrades to a number of supporting systems that provide functions such as backup and encryption to maintain support and address known issues.

- This is complete.

6.2.22 Upgrade operating systems.
Implement upgrades of server operating systems to maintain vendor support and address known issues.

- This is complete.

6.3 **Information Technology Objective 4:**

To meet internal organisation expectations for the capability of the IT function we will:

6.3.1 Review and document processes and work instructions.
Continue to build the configuration management database to support effective execution of the problem and change management processes;

- This is an ongoing activity.

6.3.2 Expand the IT team.
Extend the infrastructure support team. Train the new employee and apply

their experience to improve the service;

- This has been postponed.

6.3.3 IT survey.
Complete an IT customer satisfaction survey to identify areas of strength and areas for development.

- This is complete.

6.3.4 Review and republish service levels.
Realign the published service levels to better reflect the organisation need against the service catalogue; and

- This is complete.

6.3.5 Review and develop the service desk tool.
Refine the processes and develop reporting for the new service desk tool to support new ITIL processes and the service desk function.

- This is complete.

7 The IT activities in 2016 – 2017

The activities of the IT department can be categorised as either:

- Services that support the current operations; or
- Development that will alter an existing service or introduce a new one.

7.1 **Services**

The IT function provides a number of end-to-end services comprising several technologies and sub-services that are transparent to the Customer or User. The delivery of each service encompasses all of the enabling functions for example the delivery of the Registration service also encompasses the availability of the network to connect to the Registration system.

7.2 Service Catalogue

7.2.1 Application development.
Project management, development and implementation of small scale applications on the Lotus Notes platform only.

7.2.2 Application support.

Availability, capacity and performance management of the separate internally developed applications:

- contracts database;
- Customer Relationship Management (CRM) – iExtensions (legacy);
- employee database system;
- freedom of information system;
- HR starters and leavers system;
- intranet information service;
- IT training book library;
- pass list database;
- private papers document store;
- partners database;
- secretariat – document management system;
- secure transmission of print files;
- suppliers database; and
- temporary and occasional register database.

7.2.3 Case Management.
Availability, capacity and performance management of the fitness to practice case management system.

7.2.4 Desktop telephony.
Availability, capacity and performance management of the desktop telephony function including call recording, wall boards and queue management.

7.2.5 Education.
Availability, capacity and performance management of the education DynamicsCRM system.

7.2.6 Email and web browsing.
Availability, capacity and performance management of the email function and ability for HCPC employees to browse the internet.

7.2.7 Financial ledger.
Availability, capacity and performance management of the SAGE 200 financial general ledger system.

7.2.8 Financial Purchase Order service.
Availability, capacity and performance management of the financial purchase order system.

7.2.9 Human Resources Information.
Availability, capacity and performance management of the 'HR Info' system for managing the HR requirements of the HCPC.

7.2.10 Online Renewal Portal.
Availability, capacity and performance management of the online renewals system.

7.2.11 Personal computing (including printing and network storage)
Supply, installation and management of personal computers and all associated software and peripheral devices e.g. scanners.

7.2.12 Registration.
Availability, capacity and performance management of the registration system.

7.2.13 Remote access to corporate services.
Availability, capacity and performance management for remote access technologies enabling the access to corporate services such as email, calendar and personal performance tools.

7.2.14 Secure telephone credit card payment
Availability, capacity and performance management of the secure credit card payment telephone gateway service*.*

7.2.15 Service Desk
Respond to and resolve incidents, problems and requests for change within the IT infrastructure.

7.2.16 Video Conferencing
Availability, capacity and performance management of the video conference function.

7.2.17 Web site hosting (Internet, intranet, extranet)
Availability, capacity and performance management of the HCPC websites both internal and external.

7.2.18 Web site
Availability, capacity and performance management of the web site (internet and extranet) applications. Content and editorial management resides with the communications department.

7.3   Development

In 2016-2017 there will be a significant number of major and departmental projects delivered and/or supported by the IT department. The projects are incorporated into the following section listing activities according to IT strategic objective. The list is liable to change following decisions of Council in response to changes in the external environment.

8 Achieving the IT objectives in 2016 – 2017

The activities of the IT department are performed to achieve the IT strategic objectives in the coming year. The objectives address specific strategic issues that are categorised under the following strategic objectives:

8.1 Information Technology Objective 1:

To drive efficiencies within the organisation by the use of Information Technology and Information Systems, we will:

8.1.1 Alternative disaster recovery hosting provision.
This project will investigate the technical feasibility of moving from a traditional 'warm standby' environment to a more cost efficient on-demand service. If technically achievable the project will determine the implementation schedule and initiate the transformation.

8.1.2 Displacement of technologies.
This project continue to remove technologies from the HCPC infrastructure and replace them with Microsoft technology that the HCPC already own the rights to implement.

8.1.3 Education systems build.
To implement the second release of changes to systems and process identified in the phase 1 process and systems review project.

8.1.4 Establishing the Health & Care Professions Tribunal Service (HCPTS).
To support the technological changes necessary to establish the HCPTS.

8.1.5 Extended use of iPads.
This project builds upon the successful implementation of iPads for Council members. The aim is to extend the use of iPads to the Executive following feedback from Council.

8.1.6 Fitness to Practice case management system changes.
To implement a series of small functional improvements to the case management system as a package of changes.

8.1.7 HR & Partner systems build.
To implement the changes in systems and process identified in the phase 1 process and system review project.

8.1.8 Migrate key IT services to a virtual environment.
This project will follow the project to migrate the HCPC mail service to Office365. It will virtualise the legacy Domino environment as well as the network file storage.

8.1.9   Registrations transformation and improvement project
To implement the changes in systems and process identified in the registration process and system review project.

8.1.10 Replace legacy servers.
This project will replace a number of legacy servers to maintain support for hardware and compatibility with software.

8.1.11 Support the implementation of a new bulk print provider.
This activity will support the implementation of a new bulk print provider, as well as supporting the on-demand pilot programme.

8.2   Information Technology Objective 2:

To apply Information Technology within the organisation where it can improve effectiveness we will:

8.2.1   184 Kennington park road renovation and restack.
This project will refit the office space including structured cabling and power, to make more efficient use of the building space.

8.2.2   HCPC website review and build.
this project will review the high level requirements, process, systems and purpose of the HCPC's current website.

8.2.3   Intranet migration.
Support the Communication department in the migration of the HCPC intranet to the Office365 platform.

8.2.4   NetRegulate changes.
To implement changes to NetRegulate to enable the HCPC to meet legislative requirements regarding the manner in which annotations are displayed on the online register.

8.2.5   Skype for Business telephony development.
To enable interfaces between the corporate telephony system and Skype for business, enabling an improved feature set including 'click to call'.

8.2.6   Telephony system development cycle.
This project will manage up to two controlled releases of changes to the HCPC telephone system to reflect developments requested by the business teams.

8.2.7   Upgrade the Desktop environment.
This project will replace approximately one third of the desktop PC environment.

8.2.8 Video conferencing in 184 Kennington park road.
This project will create a dedicated, professional video conferencing suite in the 184 Kennington park road offices.

Information Technology Objective 3:

To protect the data and services of HCPC from malicious and unexpected events we will:

8.2.9 Annual NetRegulate platform refresh.
To upgrade the base platforms to apply a number of key feature enhancements to improve availability.

8.2.10 Independent security testing.
Conduct regular independent penetration tests of our environment to assure effective security controls including an on premise test.

8.2.11 PCI security standards compliance.
Review of our obligations under the PCI/DSS (payment processing) legislation plus implementation of any changes that we need to make to technology or process.

8.2.12 Replacement of corporate firewalls.
This project will select, purchase and implement replacement firewall technology in order to retain support and implement advanced firewall features.

8.2.13 Support a vendor software audit of environment.
This activity will support the external audit of the environment for software licence compliance and any subsequent actions.

8.2.14 Upgrade enterprise document and records system (Sharepoint).
This project will upgrade the current FTP implementation of Sharepoint to the most recent version to retain compatibility with other software.

8.2.15 Upgrade operating systems.
Implement upgrades of server operating systems to maintain vendor support and address known issues.

8.2.16 Upgrade supporting systems.
Implement upgrades to a number of supporting systems that provide functions such as backup and encryption to maintain support and address known issues.

8.2.17 Upgrade switch infrastructure.
This project will resolve an existing authentication issue by either

configuration of the switches or if this is not possible by their replacement.

8.3 Information Technology Objective 4:

To meet internal organisation expectations for the capability of the IT function we will:

8.3.1 Expand the IT team.
Extend the infrastructure support team. Train the new employee and apply their experience to improve the service;

8.3.2 Implement a telephone call queue.
This project will improve the management of the service desk support telephone by implementing an intelligent call queue, enabling position-in-queue information and improved metrics.

8.3.3 Review and document processes and work instructions.
Continue to build the configuration management database to support effective execution of the problem and change management processes;

9 The anticipated IT activities for 2017 - 2018

We plan to apply best practice as we continue to develop our infrastructure to gain effectiveness whilst improving value for money by:

9.1.1 Continuing to improve our processes and procedures;

9.1.2 Determine and execute a mobile strategy based upon the work completed in 2016-17;

9.1.3 We will support the major project delivery which is expected to include:

- Implementation of the registration transformation and improvement project phase 2;

- Supporting any project to redevelop 186 Kennington Park road by designing and installing IT services into the extended campus including existing buildings as their new purpose is defined;

- Review and implement a redevelopment of the HCPC web services including the corporate web site.

9.1.4   We will also deliver the agreed departmental project list to support the achievement of the directorate work plans.

10 Risk management

The Information Technology department manages those organisation risks that are primarily concerned with:

10.1 Information security - the authentication and authorisation of individuals to gain access to defined services and data;

10.2 Information Technology Continuity – the ability to recover from a disaster scenario;

10.3 Perimeter protection – the ability to manage the threat of external intrusion through hacking and virus propagation;

10.4 Obsolescence – management of the supportability and maintainability of the IT infrastructure.

Please see the appendix A for details.

11 Glossary

BAU……………………………	Business As Usual
Blackberry……………………..	Remote mobile diary and calendar management technology
BPI……………………………...	Business Process Improvement
CAPEX………………………...	Capital expenditure
CRM……………………………	Customer Relationship Management
Customer………………………	Individuals who purchase or commissions an IT service
DSL……………………………..	Definitive Software Library
FTE…………………………….	Full Time Equivalent
FTP…………………………….	Fitness to Practice
HCPC………………………….	The Health and Care Professions Council
HR Info………………………...	Software package that provides Human Resources management functionality
ISP……………………………..	Internet Service Provider
IS………………………………	Information Systems.
	The combination of business software applications, procedures and activities that utilise IT components to deliver an information service.
IT………………………………	Information Technology
ITIL…………..........................	Information Technology Infrastructure Library.
LAN……………………………	Local Area Network
Lotus Notes…………………..	Software package that provides application and mail functionality
MS-Word………………………	Microsoft Word
OPEX………………………….	Operating expenditure
PC……………………………...	Personal Computer
PCI DSS………………………	Payment Card Industry Data Security Standard
Service Catalogue………….…	A list of all end-to-end IT services available to the User
Service Delivery………………	ITIL category for service management encompassing: service level management, IT continuity management, financial management, capacity management and availability management.
Service Support………………	ITIL category for service management encompassing: service desk, incident management, problem management, configuration management, change management and release management.
SMS……………………………	Short Message Service
User……………………………	Individuals who use an IT service
W3C……………………………	World Wide Web Consortium

12 Appendix A: Risks managed by the Information Technology department

Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the on-going risk)	Impact before mitigations Jan 2016	Likelihood before mitigations Jan 2016	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2016	RISK score after Mitigation Sept 2015
Operations	2.10	Telephone system failure causing protracted service outage	Director of IT	4	3	12	Support and maintenance contract for hardware and software of the ACD and PABX	Backup of the configuration for both the ACD and PABX	Diverse routing for the physical telephone lines from the two exchanges with different media types	Low	Low
IT	5.1	Software Virus damage	Director of IT	4	5	20	Anti-virus software deployed at several key points. Application of security patches in a timely manner.	Adherence to IT policy, procedures and training	Regular externally run security tests	Low	Low
		Links to 2.3, 10.2									
	5.2	Technology obsolescence, (Hardware or Software)	Director of IT	2	2	4	Delivery of the IT strategy including the refresh of technology	Employ small core of mainstream technology with recognised support and maintenance agreements	Accurately record technology assets.	Low	Low
		Links to 2.6, 10.2									
	5.3	Fraud committed through IT services	Director of IT	3	3	9	Appropriate and proportionate access restrictions to business data. System audit trails.	Regular, enforced strong password changes.	Regular externally run security tests	Low	Low
		Links to 10.2 and 17.1									
	5.4	Failure of IT Continuity Provision	Director of IT	4	3	12	Annual IT continuity tests	IT continuity plan is reviewed when a service changes or a new service is added	Appropriate and proportionate technical solutions are employed. IT technical staff	Low	Low

									appropriately trained.	Low	Low
	5.5	Malicious damage from unauthorised access	Director of IT	4	5	20	Security is designed into the IT architecture, using external expert consultancy where necessary.	Regular externally run security penetration tests	Periodic and systematic proactive security reviews of the infrastructure. Application of security patches in a timely manner. Physical access to the IT infrastructure restricted and controlled.	Low	Low
	5.6	Data service disruption (via utility action)	Director of IT	5	1	5	Redundant services	Diverse routing of services where possible	Appropriate service levels with utility providers and IT continuity plan	Low	Low
Education	7.5	Protracted service outage following Education system failure	Director of IT	4	2	8	Effective backup and recovery processes	In house and third party skills to support system	Included in future DR/BC tests	Low	Low
Registration	10.2	Protracted service outage following a NetRegulate Registration system failure	Director of IT	5	3	15	Effective backup and recovery procedures	Maintenance and support contracts for core system elements	Annual IT Continuity tests	Low	Low
FTP	13.10	Protracted service outage following a Case Management System failure	Director of IT	5	3	15	Effective backup and recovery procedures	Maintenance and support contracts for core system elements	Annual IT continuity tests	Low	Low

Finance	15.12	Unauthorised removal of assets (custody issue)	Facilities Manager & IT Director	2	2	4	Building security including electronic access control and recording and CCTV. IT asset labeling & asset logging (issuance to employees)	Fixed Asset register itemising assets. Job exit procedures (to recover HCPC laptops, blackberries, mobile phones etc). Regular audits. Whistleblowing policy.	Computer asset insurance.	Low	Low
Information Security	17.1	Loss of information from HCPC's electronic databases due to inappropriate removal by an employee	EMT, Director of IT and Director of Operations	5	3	15	Access is restricted to only the data that is necessary for the performance of the services. Employment contract includes Data Protection and Confidentiality Agreement	Adequate access control procedures maintained. System audit trails. Training where appropriate.	Laptop encryption. Remote access to our infrastructure using a VPN. Documented file encryption procedure . Maintain ISO27001	Low	Low
	17.3	Unintended release of electronic or paper based information by external service providers.	EMT, Director of IT and Director of Operations	5	3	15	Access is restricted to only the data that is necessary for the performance of the services.	Effective system processes including secure data transfer and remote access granted only on application and through secure methods.	Data Processor agreements signed by the relevant suppliers. Maintain ISO27001	Low	Low

	17.6	Loss of Registrant personal data by the registration system (NetRegulate) application support provider in the performance of their support services (specific risk).	Director of IT and Director of Operations	5	3	15	Access to and export of Registrant data is restricted to only that which is necessary for the performance of the services.	Effective system processes including secure data transfer and remote access granted only on application and through secure methods.	Data processor side letter specifying obligations and granting a limited indemnity.	Low	Low