

Finance and Resources Committee Meeting 31st July 2008

Information Technology Strategy 2008

Executive summary and recommendations

Introduction

This paper sets out the Information Technology strategy for HPC. It builds on seven years of good work and aims to support the move from a small to a medium sized organisation.

The strategy outlines the approach taken to delivering Information Technology services in HPC and details a vision and key objectives for the department.

Decision

The Committee is asked to discuss and agree the IT strategy.

Background information

This document is intended to supplement the HPC strategic intent document and sits alongside other departmental strategy documents and workplans.

It should be read in conjunction with the IT Workplan which details those actions that are being taken within the current financial year to support the strategy.

Resource implications

The resource implications of the attached document are assumptions which are already part of the HPC budget for 2008/2009

Financial implications

The attached paper's assumptions are all accounted for in the current version of the HPC budget for 2008/2009

Appendices

IT Workplan 2008-2009

Date of paper

31st July 2008

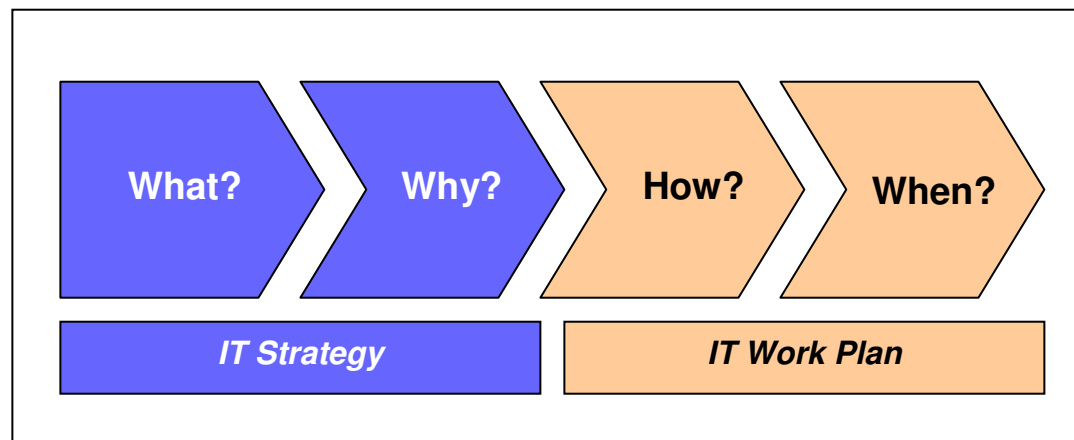
HPC Information Technology Strategy 2008

Guy Gaskins
Director of Information Technology
July 2008

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- ***HPC is making the transition from a small to a medium sized organisation***
 - ***The IT strategy builds upon the successful growth of the last seven years***
 - ***IT needs to raise its game and meet the challenge***
 - ***The strategy outlines the approach taken to delivering Information Technology services in HPC and details a vision and key objectives for the department.***

Introduction

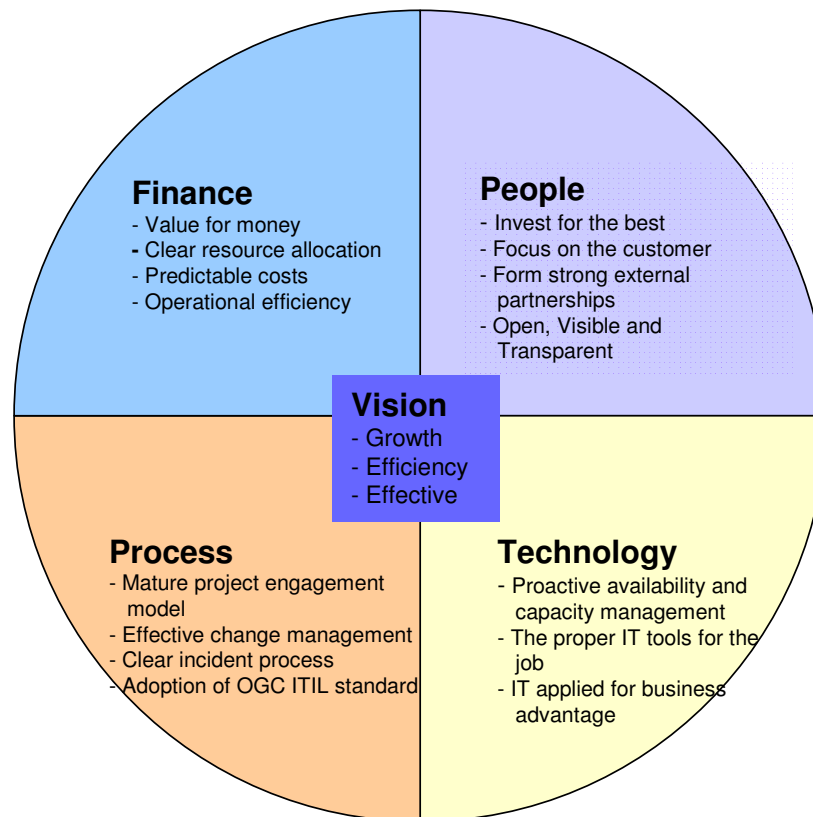
The IT strategy identifies the ‘what’ and the ‘why’ for the technology direction of HPC; the ‘how’ and the ‘when’ are addressed in the yearly Work Plan which should be read in conjunction with the strategy.



The Health Profession Council (HPC) IT strategy supports the business strategy as detailed in the Strategic Intent document. The IT strategy identifies the overall vision for the medium term and a number of strategic objectives or themes. The objectives seek to group common challenges together which are addressed in the context of each of the areas of the organisation.

IT Strategic Vision

To enable the continued growth of the Health Professions Council by exploiting Information Technology and Information Systems to drive efficiency and effectiveness throughout the organisation.



1. To drive efficiencies within the organisation by the use of Information Technology and Information Systems

This will be achieved by:

- Exploiting the web by providing more interactive services on line and driving a self service culture with Registrants and the public;
- Define technical architecture standards which new systems must adhere to;
- Improving the existing Fitness to Practice statuses by increasing the granularity of the available categories;
- Adding functionality to existing applications to support ISA initiatives;
- Extending the functionality of existing applications to collect and report against Equality and Diversity data; and
- Improve the IT control model to ensure that business changes are supported by a valid business case.

2. To apply Information Technology within the organisation where it can create business advantage.

This will be achieved by:

- Exploiting the web by providing more interactive services on line and driving a self-service culture with Registrants and the public;
- Investigating the IT needs of the Fitness to Practice function and creating a Major project to procure and implement the appropriate services;
- Develop effective partnerships with key suppliers to support our development needs.

3. To protect the data and services of HPC from malicious damage and unexpected events.

This will be achieved by:

- Implementing a remote service managed facility where the core services of HPC can be replicated and accessed remotely in the event of a disaster;
- Regularly test the integrity of our systems with external security specialist organisations;
- Ensuring that we have active scanning of all personal computers, high risk servers, web and email traffic for malicious software;
- Encrypting all Laptop data to secure data from loss and theft; and
- Investigating the mechanism for encrypting all sensitive data within HPC including backups and portable devices and creating a Major project to procure and implement the appropriate services if necessary.

4. To meet internal organisation expectations for the capability of the IT function.

This will be achieved by:

- Restructuring the IT team to improve to separate functions and improve effectiveness;
- Formalising the process for determining both Major and Small IT project inception;
- Redefine the engagement model for third party support providers to improve the effectiveness of their services and forge closer relationships;
- Adopting the key principles of the Office of Government Commerce (OGC) Information Technology Infrastructure Library (ITIL) framework for Service Management;
- Identify and implement key tools to support the Service Management processes and PC support.

- ***The Action Plan comprises the range of candidates for action required to achieve the four Information Technology objectives.***
- ***The candidates can and will change to reflect current business need. Each year the IT Work Plan will detail the candidates for action that have been selected for implementation during that financial year.***
- ***The priority is set each year following discussions between each directorate as part of the financial planning cycle.***

Resource

- **Accounts for approximately 8% of HPC expenditure:**
 - 71% fixed costs
 - 29% variable costs
- **Team growing to six employees in 2008/2009**
- The IT function is predominantly delivered internally to maintain high levels of flexibility and control, and to more ably manage costs incurred through change.

The IT team is structured against four principles:

- ***Clear ownership*** and separation of responsibilities
- ***Increase the depth*** of individual technical specialisms
- ***Maintain breadth of knowledge*** across the team
- ***Proactively manage*** the IT infrastructure

Business Services

- The IT function supports Sixteen ***end-to-end business services***
- Each service incorporates ***all enabling functions***

Technical Services

- IT Continuity – Remote standby infrastructure provision
- IT Standards and Compliance – HPC standard hardware and software
- IT Security – Multilayered approach
- Service Management - Information Technology Infrastructure Library (ITIL)
- Application Development – Bespoke development vs Commercial Off The Shelf (COTS)
- IT Training – centrally managed for the whole of the organisation

**HPC Information Technology
Strategy 2008**

**Guy Gaskins
Director of Information Technology**

July 2008

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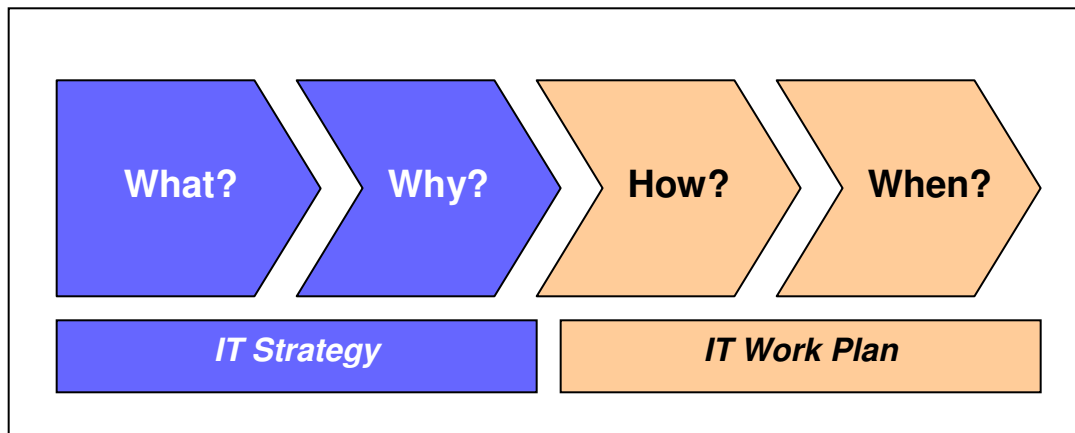
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Introduction

The provision of Information Technology (IT) and Information Systems (IS) are central to the success of a modern organisation. Investment in IT should drive the efficiency of the organisation and enable it to become more effective in achieving the corporate objectives.

The Health Profession Council (HPC) IT strategy supports the organisation strategy as detailed in the Strategic Intent document. The IT strategy identifies the overall vision for the medium term and a number of strategic objectives or themes. The objectives seek to group common challenges together which are addressed in the context of each of the areas of the organisation.

The IT strategy identifies the 'what' and the 'why' for the technology direction of HPC; the 'how' and the 'when' are addressed in the annual Work Plan which is attached in the appendix of this document.



The IT function supports a growing organisation with employee numbers continuing to rise. The majority of employees are located at the HPC office which consists of several co-joined buildings on Kennington Park road. There are a small number of permanent employees working remotely as home workers and a larger population of occasional roaming users notably within the Approvals and Monitoring, and Fitness to Practice teams.

The core organisation processes operated by HPC and supported by the IT function are:

1. Standards of Education Training driving the Approvals process;
2. Standards of Proficiency driving the Registrations process;
3. Conduct, Performance and Ethics driving the Fitness to Practice process; and
4. Standards of Continuing Professional Development (CPD) driving the CPD assessment process.

HPC has an income predominantly driven by Registrant numbers and their associated fees.

It is notable that there are circa six additional aspirant groups awaiting regulation and HPC is also seeing growing telephone enquiry call volumes and Fitness to Practice investigations.

Glossary

COTS.....	Commercial Of The Shelf package
CPD.....	Continuing Professional Development
Customer.....	The person who purchases an IT service
FTE.....	Full Time Equivalent
.	
FTP.....	Fitness to Practice
HPC.....	Health Professions Council
ISA.....	Independent Safeguarding Authority
IT.....	Information Technology. The underlying hardware, software and communication infrastructure which is used to create information services.
ITIL.....	Information Technology Infrastructure Library
IS.....	Information Systems. The combination of business software applications, procedures and activities that utilise IT components to deliver an information service.
OGC.....	Office of Government Commerce
PC.....	Personal Computer i.e. desktop or laptop computer
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.
User.....	The person who consumes an IT service

Health Professions Council Strategy

The main objective of the HPC as set out in Article 3 (4) of the Health Professions Order 2001 is:

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

The strategy of HPC is to continually improve the organisation, influence the regulatory agenda and promote best practice.

To achieve this HPC uses six guiding principles:

1. Protect the public;
2. Communicate & respond;
3. Work collaboratively;
4. Be transparent;
5. Provide value for money & audit; and
6. Deliver a high quality service.

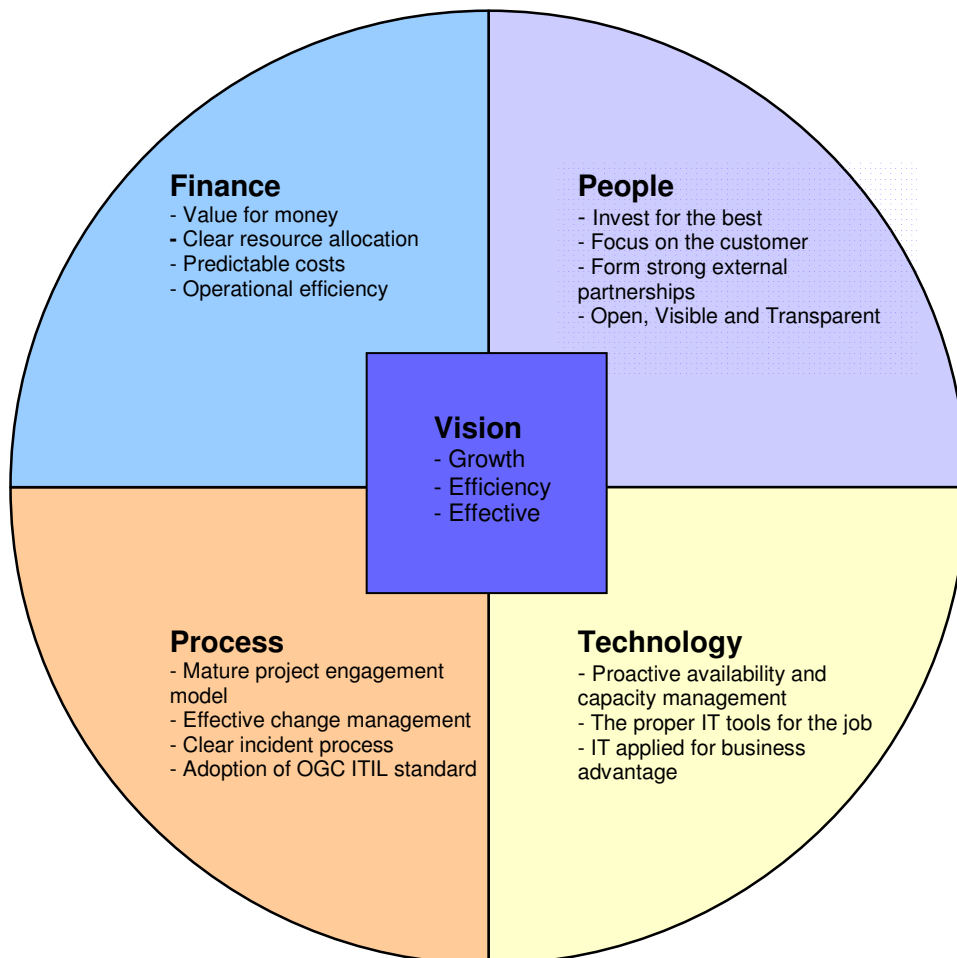
The IT strategy supports all aspects of the organisation strategy but the Strategic Intent document highlights in particular the 'investment in systems and procedures to provide a value for money service for registrants and the public and to build capacity for the growth of the organisation' as a key method to achieve the organisation objective.

IT Strategic Vision

The new strategic vision describes from an Information Technology perspective the desired outcome for HPC. The vision is:

To enable the continued growth of the Health Professions Council by exploiting Information Technology and Information Systems to drive efficiency and effectiveness throughout the organisation.

This could be viewed against the four key areas of: People, Technology, Finance and Process.



IT Strategic Objectives

The IT strategic objectives identify the key themes that link the strategic issues faced by the organisation.

Information Technology Objective 1:

To drive efficiencies within the organisation by the use of Information Technology and Information Systems.

This addresses the following strategic issues:

- HPC cannot continue to increase employment costs as a percentage of turnover to meet the demands from the growth in Registrant numbers;
- The ability to meet the rising expectations from the public and Registrants for HPC to process Applications, Re-admissions and Renewals etc, ever more quickly;
- To accurately reflect the Fitness to Practice status of a Registrant on the online register and to support operational processes;
- Requirements derived from external authorities such as the initiatives of the Independent Safeguarding Authority (ISA);
- The need to monitor and report against Equality and Diversity information; and
- The increasing usage of divergent technologies increasing the overhead and raising risks of business continuity and support.

This will be achieved by:

- Exploiting the web by providing more interactive services on line and driving a self service culture with Registrants and the public;
- Define technical architecture standards which new systems must adhere to;
- Improving the existing Fitness to Practice statuses by increasing the granularity of the available categories;
- Adding functionality to existing applications to support ISA initiatives;
- Extending the functionality of existing applications to collect and report against Equality and Diversity data; and
- Improve the IT control model to ensure that business changes are supported by a valid business case.

Information Technology Objective 2:

To apply Information Technology within the organisation where it can create business advantage.

This addresses the following strategic issues:

- The highly skilled Registration advisors spend a disproportionate amount of time responding to low skilled telephone enquiries which does not fully utilise their potential;
- There is an over reliance on manual processes and basic databases to operate key business functions;
- There is a need to accurately import and process data from disparate systems when on boarding new professions for statutory regulation by HPC such as the Practitioner Psychologists and the Hearing Aid Council; and
- The rising expectations of the public to interact with HPC electronically and to perform key processes immediately via the internet at any time.

This will be achieved by:

- Exploiting the web by providing more interactive services on line and driving a self-service culture with Registrants and the public;
- Investigating the IT needs of the Fitness to Practice function and creating a Major project to procure and implement the appropriate services;
- Develop effective partnerships with key suppliers to support our development needs.

Information Technology Objective 3:

To protect the data and services of HPC from malicious damage and unexpected events.

This addresses the following strategic issues:

- The need for the organisation to quickly become operational following a major disaster to the premises or services;
- To protect the information services from malicious damage; and
- To secure the data collected and created by HPC from loss or theft. This risk is highlighted following the loss of personal data by the United Kingdom government in 2007.

This will be achieved by:

- Implementing a remote service managed facility where the core services of HPC can be replicated and accessed remotely in the event of a disaster. The specific services covered and the time taken to bring them on line is specified in the business continuity plan;
- Regularly test the integrity of our systems with external security specialist organisations;
- Ensuring that we have active scanning of all personal computers, high risk servers, web and email traffic for malicious software;
- Encrypting all Laptop data to secure data from loss and theft; and
- Investigating the mechanism for encrypting all sensitive data within HPC including backups and portable devices and creating a Major project to procure and implement the appropriate services if necessary.

Information Technology Objective 4:

To meet internal organisation expectations for the capability of the IT function.

This addresses the following strategic issues:

- The need to improve the method of prioritising resources to achieve business benefit;
- The increasing expectation of HPC for the IT department to meet larger change programmes whilst maintaining business services within agreed service levels;
- To provide an efficient service that the organisation can depend upon to support the organisation need;
- There is an increasing reliance on technology to run business processes effectively; and
- To have transparent internal IT processes and procedures minimising any impact on the business function.

This will be achieved by:

- Restructuring the IT team to improve to separate functions and improve effectiveness;
- Formalising the process for determining both Major and Small IT project inception;
- Redefine the engagement model for third party support providers to improve the effectiveness of their services and forge closer relationships;
- Adopting the key principles of the Office of Government Commerce (OGC) Information Technology Infrastructure Library (ITIL) framework for Service Management;
- Identify and implement key tools to support the Service Management processes and PC support.

IT Key Services and Principles

Resource

HPC is the most economical of the nine United Kingdom statutory regulators of health professionals. The IT function accounts for approximately 8% of annual expenditure (figure 1) and is supported by a team of five FTEs. The team will grow to six employees in 2008/2009 and will change to support any future growth of HPC. The department structure and how the functions are separated are depicted in figure 2 and figure 3.

Description	Value (,000)	% (-depreciation)
Fixed Opex		
Human Resources	309	32
Support costs	381	39
		Subtotal 71
Variable Opex		
Temp project support staff	150	15.5
Hardware & software	49	5
External support	5	0.5
Small project costs	75	8
		Subtotal 29
Capex		
Switches, servers and PCs	83	100

Fig 1 – high level financial overview

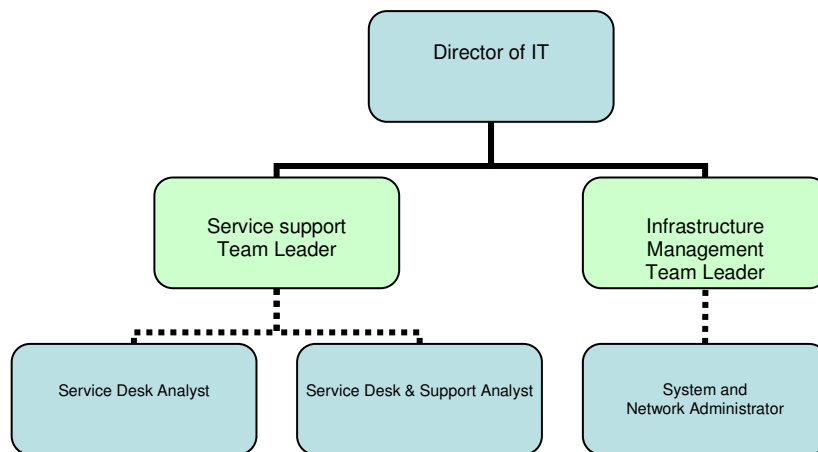


Fig 2 – Department structure

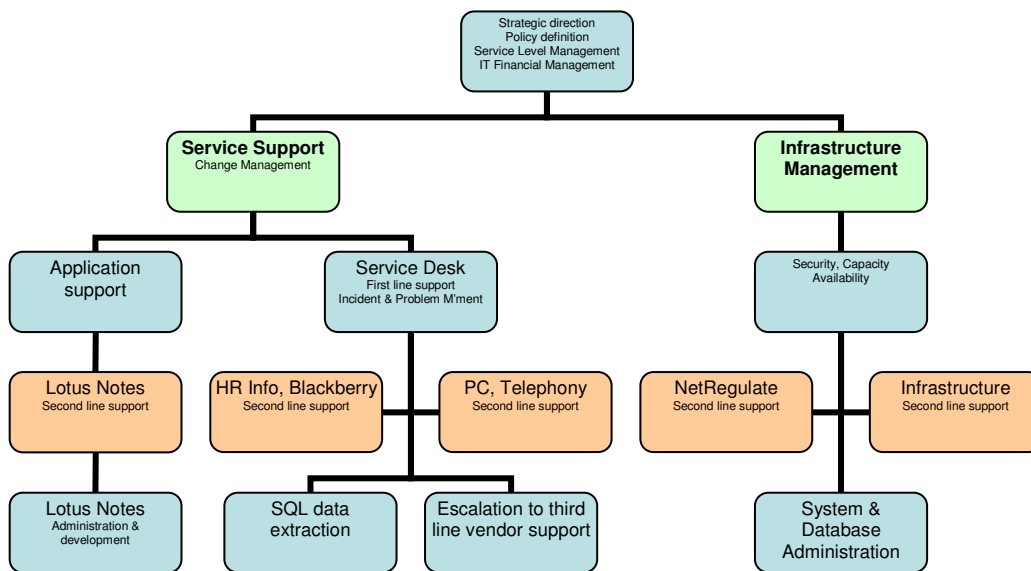


Fig 3 – Department functional separation

The IT function is predominantly delivered internally to maintain high levels of flexibility and control, and to more ably manage costs incurred through change.

The service desk operates from Monday to Friday between 08:00 and 18:00 to match the operating hours of the organisation.

Each member of the IT team is responsible for specific areas of the IT infrastructure and receives appropriate specialist training as identified in the Performance Development Review process. To maximise the effectiveness of the team all members have a broad knowledge of the technologies deployed.

The IT team is structured against four principles:

- To utilise the IT resource effectively we need to have **clear ownership** and separation of responsibilities;
- To have functional specialists that excel at their core specialism - we want to **increase the depth** of the IT team skills and knowledge;
- We need to recognise that as a small team every team member will still need to be able to 'triage' incidents i.e. we need to retain a **breadth of understanding** albeit at a higher level;
- Allocate resource to **proactively manage** the IT infrastructure.

HPC will create long term partnerships with external vendors where there is a need to provide recurrent specialist services that cannot be delivered internally.

Business Services

The IT function supports the following end-to-end business 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 e.g. the delivery of the Registration service also encompasses the availability of the network to connect to the Registration system.

1. Personal computing (including printing and network storage)
Supply, installation and management of personal computers and all associated software and peripheral devices e.g. scanners
2. Registration
Availability, capacity and performance management of the Registration system
3. Application development
Project management, development and implementation of small scale application development
4. Application support
Availability, capacity and performance management of the many separate internally developed applications:
 - i. Freedom of Information system
 - ii. Fitness to Practice system
 - iii. HR Starters and Leavers system
 - iv. Intranet information service
 - v. Employee database system
 - vi. Suppliers database
 - vii. Pass list database
 - viii. World wide regulators website
 - ix. IT training book library
 - x. Private Papers Document Store
 - xi. Partners Database
 - xii. Meeting room/ resource database
 - xiii. Batch processor schedule
 - xiv. Form request (request application pack on internet)
 - xv. Registration - Temporary Registration Database
 - xvi. Secretariat – Document management system
5. Education and Monitoring
Availability, capacity and performance management of the Education and Monitoring database system
6. Email and web browsing
Availability, capacity and performance management of the email function and ability for HPC employees to browse the internet
7. Desktop telephony
Availability, capacity and performance management of the desktop telephony

function including call recording and queue management

8. Customer Relationship Management system (CRM)
Availability, capacity and performance management of the Customer Relationship Management system iExtensions.
9. Financial ledger
Availability, capacity and performance management of the SAGE 200 Financial general ledger system
10. Financial Payroll
Availability, capacity and performance management of the SAGE 50 Payroll 2008 system
11. Human Resources Information
Availability, capacity and performance management of the 'HR Info' system for managing the HR requirements HPC
12. Web site hosting (Internet, intranet, extranet)
Availability, capacity and performance management of the hosting only for the HPC websites both internal and external
13. Reports generation and data extract/upload
Provision of Crystal Reports development service and data extraction from key systems to aid external mailings etc
14. Productivity training
Coordination and provision of external professional training for desktop personal productivity tools e.g. MS-Word
15. Video Conferencing
Availability, capacity and performance management of the video conference function (excluding the video equipment which is supported by Facilities)
16. Mobile personal mailing service
Availability, capacity and performance of the Blackberry function enabling remote and personal diary and mail synchronisation.

Technical Services

Technical services are transparent to but underpin the Business services.

IT Continuity

To maximise service and performance and minimise cost the majority of the IT infrastructure is located at the HPC office premises in dedicated facilities addressing cooling, power and physical security needs. As an exception the Internet service is hosted and managed remotely at a dedicated data centre by a managed service provider.

HPC also employs its data centre as part of its IT Continuity plan and hosts copies of the core data applications, notably:

- Registration system (NetRegulate);
- Finance systems (Sage100, Sage200, Sage payroll);
- Mail service;
- Shared network drives G: and N: ;
- Approvals and Monitoring application; and
- FTP applications.

This allows for rapid availability of the core elements of the HPC IT infrastructure to a reduced user group in the event of a critical outage.

Data is synchronised using several methods over a 24 hr cycle. Additionally backups are taken internally and cycled weekly to provide a more granular method of recovery, with a reference backup of all systems archived off-site each month.

IT Standards and Compliance

Mainstream proven commercial software and hardware are deployed to maximise interoperability between vendors and availability of third party support.

Desktop equipment is supplied by Dell and laptops are supplied by Toshiba. We have further standardised on models which have an extended business life where the vendor guarantees to supply the same model for a prolonged period. This reduces the variety of hardware that needs to be supported, improving the effectiveness of the support.

As a de facto standard Microsoft software is predominantly used on the PCs; it is also used on the server environment except where higher performance and availability is required.

Where HPC does not have the required depth of expertise in an area of the infrastructure that is critical to the delivery of one of the business services it will seek to obtain appropriate third party support for example in security penetration testing.

PC delivered software will continue to be audited by an external organisation to verify license compliance.

IT Security

A multilayered approach is taken to address concerns of IT security.

Authentication and Authorisation:

- Users require complex passwords for authentication to PC and Network services;
- Users are only granted access to services to which they have specific authorisation;
- Passwords for PC and Network services are changed every four weeks; and
- Additional passwords are required to access each core application service e.g. Registration system.

Perimeter security:

- The IT systems are tested quarterly for vulnerabilities from external attack using a specialist security company;
- All incoming and outgoing email and web traffic is scanned for viruses and malicious software;
- All personal computers and servers running Microsoft technologies have virus protection software deployed;
- The latest security patches are deployed automatically to the personal computers on the network;
- Laptops are encrypted to protect any sensitive data; and
- Physical access is restricted to the HPC offices and is further restricted to the server infrastructure.

Service Management

Simple service management is delivered focused primarily on the Service desk, Incident management process and IT continuity. Service levels for the availability of key services are published monthly.

HPC is applying elements of the Information Technology Infrastructure Library (ITIL) guidelines as published by the Office of Government Commerce (OGC) to its Service Management processes. This is a key method for driving efficiency and effectiveness through the use of IT and is a key development within the IT strategy addressing areas of Service Support and Service Delivery.

The implementation of more formal service management is aimed to increase transparency to the user and customer and to drive efficiency and effectiveness within the IT function without excessive bureaucracy.

Application Development

The development of business critical applications that support the core business processes of the organisation is supported either:

- through bespoke development outsourced to a specialist company where there does not exist a commercial product that can be efficiently applied against our substantive requirement; or
- by purchasing a Commercial Off The Shelf (COTS) package.

It is more desirable and advantageous to purchase a COTS solution and be able to leverage the increased investment in the software development and typically higher levels of support availability.

In house development will continue where:

- a viable commercial software solution does not exist;
- to prevent the proliferation of small technically diverse software with specialist support requirements; and
- there is a need to deploy a low risk solution quickly and economically.

Information Technology Training

The provision of IT training for all departments is centralised and managed by the IT function. A single training partner is engaged to provide the majority of the IT training needs for the organisation. This long term partnership drives competitive pricing and flexibility in delivering the training objectives.

IT Action Plan

The Action Plan is a series of candidates for action to achieve the Information Technology objectives. These candidates for action can and will change to reflect current organisation need. Each year the IT Work Plan will detail the candidates for action that have been selected for implementation during that financial year. The priority is set each year following discussions between each directorate as part of the financial planning cycle.

Objective 1 Candidates for Action (page 7):

To drive efficiencies within the organisation by the use of Information Technology and Information Systems.

- Develop a new web channel enabling Registrants and Applicants to electronically submit for key business process;
- Consolidate infrastructure hardware and software to reduce support overhead and duplicated data silos;
- Develop and deploy a standard hardware laptop and desktop;
- Develop and deploy a standard personal computer image;
- Implement personal computer lifecycle management software to improve the management and fault resolution of the infrastructure; and
- Review key contracts to ensure value for money services.

Objective 2 Candidates for Action (page 8):

To apply Information Technology within the organisation where it can create business advantage.

- Reduce the number of data and functional silos, consolidating application requirements to support generic business functions across teams and directorates;
- Investigate the business case for supporting the Fitness to Practice directorate with specialist targeted case management software; and
- Investigate the business case for implementing document and records management on the unstructured data of the organisation.

Objective 3 Candidates for Action (page 9):

To protect the data and services of HPC from malicious and unexpected events.

- Instigation of rigorous patch management policy ensuring appropriate patching of servers and applications to address risk;
- Consolidation of software protecting HPC against virus and malware attacks;
- Audit the physical configuration of the servers and network infrastructure and apply best practice;
- Review of the policy for using external media to connect directly to HPC personal computers

- Development of the mechanism for keeping the HPC primary and disaster recovery sites data in synchronisation; and
- Investigate the business case for implementing enterprise wide data encryption.

Objective 4 Candidates for Action (page 10):

To meet internal organisation expectations for the capability of the IT function.

- Formalising the process for determining both Major and Small IT project inception;
- Develop an effective change management process to protect the production environment from outages;
- Develop effective incident and problem management processes to efficiently process support requests;
- Investigate and realign the IT organisation to better support the services supported by the IT function;
- Create a comprehensive resource management plan to adequately support both the IT operational and project commitments;
- Develop a configuration management database to support effective execution of the problem and change management processes. Specifically document key architecture designs;
- Develop the engagement model of third party vendors to better leverage their expertise for change projects and on going support;
- Develop robust service management policies;
- Realign the published service levels to better reflect the organisation need against the service catalogue;
- Document service catalogue and agreed software list; place under change control;
- Consolidate infrastructure hardware and software to reduce the support requirement of diverse technology;
- Create a comprehensive support library for technicians by documenting key processes and procedures;
- Improve the capability of the intranet helpdesk system to allow the user to track service requests and perform basic fault diagnosis;
- Develop effective capacity management processes supporting the IT infrastructure;
- Develop effective availability management processes supporting the IT infrastructure; and
- Consolidate third party support provider list and build deeper partnerships.

Appendix A

Information Technology Work plan 2008 – 2009

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Glossary

BAU.....	Business As Usual
Blackberry.....	Remote diary and calendar management technology
CRM.....	Customer Relationship Management
Crystal Reports.....	Report writing software package
FTE.....	Full Time Equivalent
FTP.....	Fitness To Practice
HR Info.....	Software package that provides Human Resources management functionality
IT.....	Information Technology
ISA.....	Independent Safeguarding Authority
LAN.....	Local Area Network
Lotus Notes.....	Software package that provides application and mail functionality
MS-Word.....	Microsoft Word
POE.....	Power Over Ethernet

Introduction

The Health Professions Council (HPC) is entering a period of fundamental change as it transforms from a small to a medium sized organisation. This change will have significant impacts on the internal supporting service providers required to create an infrastructure that will enable the continued development of HPC.

The current HPC strategy identifies the three central priorities for the organisation: *to Improve*; *to Influence* and *to Promote*. The core function of the Information Technology (IT) department is to support and enable the business to realise these priorities through the achievement of the business objectives.

As an internal supporting service provider, the IT function operates proactively managed services to enable current business processes to function. A large element of the service is reactive to incidents in the infrastructure and changes to business priorities and objectives as HPC adapts to the changing external environment.

The challenge facing the IT department is to manage the conflicting demands of both reactively and proactively provided services without hindering business momentum. HPC has begun to address this need by recruiting a new Director of Information Technology to lead the transformation of the IT function.

The IT function needs to build on previous successes to create solid foundations that enable business growth. Additionally, the overall aim of the IT function is to improve efficiency and effectiveness whilst delivering value for money. These aims will be achieved through a process of evolution rather than revolution.

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This document

This work plan is underpinned by the HPC Strategy and defines the current Information Technology services provided as well as the work priorities and objectives for the financial year 2008-2009. The document provides a basis against which the work of the IT department can be planned and measured.

Resources

Human resources

Following a reorganisation of the Information Technology Department the team consists of five employees.

Guy Gaskins	Director of Information Technology
James McMahon	IT Support Co-ordinator
Rick Welsby	Back Office Systems Administrator
Richard Watling	Systems Support Analyst
Tyrone Goulbourne	Network and Desktop Support

An additional permanent employee will be recruited in 2008/2009 to support the continued growth of HPC.

Role descriptions

The Director of Information Technology has overall accountability for the IT provision at HPC. The position is responsible for the security and integrity of the IT infrastructure and systems, as well as providing support to and developing the core applications of the organisation.

The IT support co-ordinator role has joint responsibility with the Systems Support Analyst for the identification and resolution of incidents within the IT infrastructure. Additionally the role supports the desktop and server hardware infrastructure support and development.

The Back Office Systems Administrator is primarily responsible for maintaining and developing our bespoke database applications environment providing email and specialist application services.

The Systems Support Analyst is responsible for the identification, recording and resolution of incidents in the IT infrastructure. They are the primary point of contact between the business users and the IT department.

The Network and Desktop Support role is primarily responsible for the desktop and server hardware infrastructure support and development including backup and recovery, and capacity management.

The IT organisation and the specific responsibilities of each of the roles will be reviewed during 2008/2009.

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Resource allocation

For the 2008/2009 financial year the IT resource has been allocated against three categories of work: Business As Usual (BAU), Major project delivery and Small project delivery.

BAU effort has been estimated through a process of identifying recurrent tasks and approximating the effort required to fulfil them over a twelve month period. This includes activities such as incident and problem management, third party supplier management, capacity planning, and penetration testing etc.

Major project delivery effort has been estimated using the available high level project plans.

Small project delivery effort has been estimated following short interviews with key stakeholders.

Category	HPC IT FTE
Business-as-usual	2.8
Major projects	0.6
Small projects	0.6

We are assuming that an additional 0.4 FTE is supplied by a third party Support Company to support Major projects

Financial resources

The 2008/2009 Work Plan assumes an operating budget of £1,130,000 and a capital budget of £83,000. This represents a 34% increase on operating expenditure and a 60% increase in capital expenditure on the 2007/2008 budget. This reflects the reorganisation of the IT department, an increased commitment for third party support and the additional head count to accommodate the growth of HPC and the transformation of the IT service.

Budget	2007/2008	2008/2009
Operating expenditure	£844,000	£1,130,000
Capital expenditure	£52,000	£83,000

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Information Technology Activities in 2008 - 2009

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

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

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 e.g. the delivery of the Registration service also encompasses the availability of the Network to connect to the Registration system.

Existing services

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

18. Registration
Availability, capacity and performance management of the Registration system

19. Application development
Project management, development and implementation of small scale application development

20. Application support
Availability, capacity and performance management of the many separate internally developed applications:
 - i. Freedom of Information system
 - ii. Fitness to Practice system
 - iii. HR Starters and Leavers system
 - iv. Intranet information service
 - v. Employee database system
 - vi. Suppliers database
 - vii. Pass list database
 - viii. World wide regulators website
 - ix. IT training book library
 - x. Private Papers Document Store
 - xi. Partners Database
 - xii. Meeting room/ resource database
 - xiii. Batch processor schedule
 - xiv. Form request (request application pack on internet)
 - xv. Registration - Temporary Registration Database
 - xvi. Secretariat – Document management system

21. Education and Monitoring
Availability, capacity and performance management of the Education and Monitoring database system

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22. Email and web browsing
Availability, capacity and performance management of the email function and ability for HPC employees to browse the internet
23. Desktop telephony
Availability, capacity and performance management of the desktop telephony function including call recording and queue management
24. Customer Relationship Management system (CRM)
Availability, capacity and performance management of the Customer Relationship Management system iExtensions.
25. Financial ledger
Availability, capacity and performance management of the SAGE 200 Financial general ledger system
26. Financial Payroll
Availability, capacity and performance management of the SAGE 50 Payroll 2008 system
27. Human Resources Information
Availability, capacity and performance management of the 'HR Info' system for managing the HR requirements HPC
28. Web site hosting (Internet, intranet, extranet)
Availability, capacity and performance management of the hosting only for the HPC websites both internal and external
29. Reports generation and data extract/upload
Provision of Crystal Reports development service and data extraction from key systems to aid external mailings etc
30. Productivity training
Coordination and provision of external professional training for desktop personal productivity tools e.g. MS-Word

New Services for 2008/2009

1. Video Conferencing
Availability, capacity and performance management of the video conference function (excluding the video equipment which is supported by Facilities)
2. Mobile personal mailing service
Availability, capacity and performance of the Blackberry function enabling remote and personal diary and mail synchronisation.

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Development

In 2008/2009 the following Major and Small projects will be supported and/or delivered by the IT department.

Major Projects

- Fees 2009
- FTP Registration system statuses rationalisation
- ISA and Equality and Diversity
- Online Application and Renewal
- Practitioner Psychologists

Small Projects

- Network Switch upgrades
- Data line installation to increase telephone capacity
- User Acceptance Test application provision
- 'HR Info' enhancement and 'Time off in lieu' development
- FTP application development
- Mobile personal mailing service implementation
- CRM iExtensions upgrade for support
- Lotus Notes upgrade for support
- New Starters Leavers application development
- Remove processed Direct Debit Instruction, application development for the Registration system
- Recording Cohort data for Approvals and Monitoring system
- Software package and deploy service
- PC hardware technology refresh
- Communication Enhancement Project

Achieving the IT Objectives in 2008 - 2009

There are a number of objectives that the Information Technology department will need to achieve in 2008/2009.

Information Technology Objective 1:

To improve the capability of the current services delivered and ensure the IT function supports HPC growth, we will:

- Systematically review the foundation processes, procedures and technology utilised by the IT department. Identify, Analyse, Improve and Implement changes as necessary.
- Conduct a Customer satisfaction survey to benchmark service quality and customer satisfaction

Timescale March 2009

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Information Technology Objective 2:

To comply with our legal obligations and promote best practice we will:

- Review and improve our software deployment and tracking processes
- Review our software deployment mechanism
- Conduct a quarterly audit of our license compliance by a third party organisation

Timescale Quarterly

Information Technology Objective 3:

To support the Major projects change programme of HPC we will:

- Review the engagement model with key third parties to improve the efficiency and quality of the deliveries.
- Improve the resource planning of internal IT resource to better support project schedules
- Assign specific IT resource to lead and own the IT deliverable from an HPC perspective
- Directly support the following Major projects:
 - Fees 2009
 - FTP Registration system statuses rationalisation
 - ISA and Equality and Diversity
 - Online Application and Renewal
 - Practitioner Psychologists

Timescale to individual Project plan

Information Technology Objective 4:

To support the Small projects change programme of HPC we will:

- Assign specific IT resource to lead and own the product delivery
- Plan, develop, report and implement the agreed changes to budget
- Directly support the following Small projects:
 - Network Switch upgrades
Review the existing architecture for the Local Area Network (LAN). Improve the reliability, resilience, capacity of the Network infrastructure enabling Power over Ethernet (POE) functionality
 - Data line installation
Increase the capacity of the telephone system to meet peak usage
 - User Acceptance Test application provision
Improve the quality of the User Acceptance Test cycles for application development cycles by employing a specialist tool for controlling, monitoring and reporting against test scripts
 - 'HR Info' enhancement and 'Time off in lieu' development
Support the development of the 'HR Info' system to meet the new requirements as defined by the Human resources department
 - FTP application development
Analyse, develop and implement new requirements to the Fitness To Practice

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Lotus Notes system supporting the FTP Work Plan

- Mobile personal mailing service implementation
Implement the Blackberry service to support mobile mailing and diary management
- CRM iExtensions upgrade
Upgrade the Customer Relationship Management system iExtensions to retain support and resolve existing known Errors
- Lotus Notes upgrade
Upgrade the Lotus Notes environment to retain support and maintenance
- New Starters Leavers application development
Analyse, develop and implement new requirements for the New Starters and Leavers application to support the Human Resources Work Plan
- Remove processed Direct Debit Instructions, application development for the Registration system
Support the analysis, development, testing and implementation of changes to the Registration system to improve Financial processing
- Recording Cohort data for Approvals and Monitoring system
Analyse, develop and implement new requirements for the Approvals and Monitoring database to support the Approvals and Monitoring Work Plan
- Software package and deploy service
Analyse requirement for and implement an application to control, manage, deploy and report against software deployed against the IT infrastructure
- PC hardware technology refresh
Plan and implement the replacement of obsolete desktop personal computers at HPC. Define and implement a standard build
- Communication Enhancement Project
Analyse, develop and implement new requirements for the Approvals and Monitoring database to support the Approvals and Monitoring Work Plan

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Information Technology activities for 2009 - 2010

We plan to continue to improve our processes and procedures through the implementation of best practice and further develop our infrastructure to gain efficiencies whilst improving value for money.

We will support the Major projects which are expected to include the take on of new professions to regulate as well as a significant project to analyse the benefits of and implement a more rigorous Document and Records Management system.

We will deliver the agreed Small project list to support the achievement of the directorate Work Plans.

Information Technology activities for 2007 - 2008

Progress of the objectives for 2007/2008 can be summarised as follows:

1. Business as usual objectives

- **Operate within the IT budget**
- **Develop a work plan outlining key activities in the year**
- **Update the Disaster Recovery plan format**

The BAU objective is represents our substantive goal for the year and it has been achieved; evidenced by the Service Level statistics and the availability of the core services. Specifically the IT budget is forecast to be marginally overspent; the Work Plan was completed and the Disaster Recovery plan format update was postponed due to the delay in the release of the new standard BS: 25999:2007

2. On boarding of New Professions

Significant work has been performed to define the data requirements and transfer requirements for the on boarding of new professions. A third party company has been commissioned to build the import mechanism to transfer the Register for the Practitioner Psychologists. However, due to the timetable for the consultation and the laying of the legislation in Parliament the on boarding will now not occur until the 2008/2009 financial year.

3. Continued Professional Development (CPD) technology built within allocated budget

The testing of the CPD function was successfully completed in February 2008; performance requirements are now being addressed and the technology is expected to be deployed on time for the first CPD cycle.

4. Professional Qualifications Directive.

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The delivery of a Lotus Notes solution has been implemented successfully.

Risk Management

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

- Information security - the authentication and authorisation of individuals to gain access to defined services and data
- Information Technology Continuity – the ability to recover from a disaster scenario
- Perimeter protection – the ability to manage the threat of external intrusion through hacking and virus propagation
- Obsolescence – management of the supportability and maintainability of the IT infrastructure

Please see the appendix below for details.

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Appendix: Risks Managed by the Information Technology department

Risk		Risk Owner	Significance Feb 2008	Probability Feb 2008
2.1	Inability to occupy premises or use interior equipment	Facilities Mger & Director of IT	Low	Low
Mitigations Invoke Disaster Recovery/Business Continuity plan; Commercial Combined insurance cover (fire, contents, terrorism etc)				
5.1	Software Virus damage	Director of IT	Low	Low
Mitigations Firewalls and anti-virus SW checks run; Adherence to IT policy, procedures and training; Regular externally run security tests and probes				
5.2	Technology obsolescence, (HW or SW)	Director of IT	Low	Low
Mitigations Accurate asset records and technology refresh strategy; Employ mainstream technology with recognised support and maintenance agreements; Annually review IT technology strategy				
5.3	IT fraud or error	Director of IT	Medium	Low
Mitigations Adequate access control procedures maintained. System audit trails; Regular, automatic password changes. External reviews. Daily backups; Regular externally run security tests and probes				
10.2	LISA Registration system failure	Director of Operations and Director of IT	Low	Low
Mitigations Effective backup and Recovery procedures; Third party maintenance and support contract; Disaster recovery tests				

11.1	Loss of key HPC employees (person cover risk)	President, Chief Executive and EMT	Medium	Low
Mitigations Committee chairmen cover for President loss, President and EMT cover for CE loss until interim appointment made; Cross training (partial or full) and process documentation; CE Succession plan held by HR Director. Succession planning generally.				
11.6	High sick leave levels	EMT	Low	Medium
Mitigations Adequate staff (volume and type) including hiring temporary staff; Return to work interviews and sick leave monitoring; Regular progress reviews				
15.2	Unexpected rise in operating expenses	EMT	Medium	Low
Mitigations Finance & Resources Committee review of the Monthly variances to date; Budgetary control clarity around permanent and timing differences.; Regular Budget-holder reviews				
15.3	Large Capital Project Cost Over-runs	EMT	Medium	Low
Mitigations Finance & Resources Committee review of the monthly variances to date; Effective project specification, management and project progress reporting (financial and non financial); Detailed cost estimations eg Quantity Surveyor estimates for the 22/26 SS project				
15.12	Unauthorised removal of assets (custody issue)	Director of IT & Facilities Mger	Low	Low
Mitigations IT asset labelling & asset logging (issuance to employees); Fixed Asset register itemising assets. Job exit procedures (to recover HPC laptops etc); Computer insurance				

17.1	Electronic record Data Security	Director of IT and Director of HR	Medium	Low
Mitigations Employment contract includes Data Protection Agreement; Adequate access control procedures maintained. System audit trails; Laptop security encryption and VPN access.				
17.3	Data held by Third Parties	Director of Ops and Director of IT	Medium	Medium
Mitigations Data Protection/Controller agreements signed by the relevant suppliers. Use of electronic firewalls by suppliers; Use of locked Tape Archive boxes and sign out procedures; DSL access LISA via secure VPN and password security. Only sample set of data held by DSL. Print UK have adequate password control and utilise data encryption. Peladon access using remote access tool. Electral Reform Society data is password protected and encrypted.				
17.4	Data received from Third Parties	Director of Ops, Director of IT and FTP Director	Medium	Low
Mitigations Read only, password protected access by a restricted no of FTP employees to KN data. Transcript hearings produced in a redacted form before being posted on the HPC website; Registrant payments taken in compliance with Payment Card Industry (PCI) Security standards ie with quarterly PCI testing; Ensure third party data providers eg professional bodies provide the data password protected/encrypted/door to door courier/registered mail/sign in sign out as appropriate.				