

Council, 26 March 2014

Information Technology Work Plan 2014-2015

Executive summary and recommendations

Introduction

The Information Technology Work Plan for the period 1 April 2014 to 31 March 2015 is attached.

Decision

The Council is requested to discuss the document.

Background information

None

Resource implications

The resourcing of the Department is set out in the attached workplan.

Financial implications

The financial implications of the planned work are accounted for in Information Technology budget for 2014-2015.

Appendices

Information Technology Work Plan 2014-2015

Date of paper

17 March 2014

Information Technology Work Plan 2014 – 2015

First published in March 2014

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1 Introduction

- 1.1 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'.

- 1.2 The HCPC does this by achieving six strategic objectives.

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

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

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

- 1.5 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 as service incidents occur and as changes are made to business priorities as HCPC adapts to the changing external environment.

- 1.6 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 additional business driven services.

- 1.7 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 risk based approach adopting a process of evolution rather than revolution.

- 1.8 This work plan supports the HCPC strategic intent document¹ and the IT strategy and defines the current information technology services provided as well as the work priorities and objectives for the financial year 2014-15.

¹ Strategic Intent Document 2012 – 2015 first published April 2012

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

2 Equality and Diversity Scheme

- 2.1 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.
- 2.2 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.

3 Human resources

- 3.1 The IT Department consists of nine employees but will be expanded to eleven and a half full time equivalents in 2014-15:

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 McMahan	IT Support Analyst
Elandre Potgieter	IT Support Analyst
Vacant	IT Support Analyst
Vacant	Administration support (half full time equivalent)

- 3.2 Director of Information Technology

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.

3.3 Service Support Team

3.3.1 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 and developing our bespoke database application environment providing email and specialist application services.

3.3.2 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.

3.4 Infrastructure Support Team

3.4.1 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.

3.4.2 IT Infrastructure Engineer

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

3.4.3 IT Infrastructure Support Engineer

This 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.

3.4.4 IT Administration Support

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

4 Financial resources

4.1 This work plan assumes an operating budget of £1,679,000 and a capital budget of £190,000.

	2013-14 Budget (,000) (9 mth reforecast)	2014-15 Budget (,000)	% difference
Operating Expenditure (excluding depreciation)	£1,555	£1,679	8.0
Capital Expenditure	£272	£190	-30.1

4.2 The increase in operating expenditure predominantly reflects the increased running costs due to:

- Addition of two and a half full time equivalent employees to the IT team;
- Increased head count for the HCPC; and
- Introduction of the new Education IT system.

4.3 The reduction in capital expenditure is mainly due to:

- The transfer of PC costs from capital expenditure to operating expenditure.
- The procurement of Microsoft licenses through a subscription service rather than as a capital investment.

5 How the IT objectives were achieved in 2013 – 2014

Progress against the objectives set for 2013 – 2014 can be summarised as:

5.1 Information Technology Objective 1:

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

- 5.1.1 Support the Education systems and process review project phase 2 to implement the changes in system and process identified in the phase 1 project;
- To project plan with an expected delivery date of March 2015.

- 5.1.2 Support the HR & Partner process and systems review phase 1 project to enhance service and reduce organisational risk;
- To project plan with an expected delivery date of September 2014.
- 5.1.3 Implement a technology solution to replace paper council papers.
- This is complete.
- 5.1.4 Support the HR & Partner process and systems review phase 2 project to enhance service and reduce organisational risk;
- This project has been rescheduled to accommodate the European public procurement process.
- 5.1.5 Support the Fitness to Practice case management system changes project to implement a series of small functional improvements as a package of changes;
- This is complete. The implementation of changes will be delivered by the 2014-15 project.
- 5.1.6 Support the Finance systems and process review phase 1, to review the systems and processes of the Finance department and if appropriate define new processes and identify a technology solution to support the department.
- This major project was re-prioritised.
- 5.1.7 Support the In Focus Distribution project to implement a solution to improve the distribution of the In Focus electronic newsletter.
- This major project has been rescheduled to accommodate the recruitment of a project manager.
- 5.1.8 Support the Online Renewal Review & Change of Payment Provider project to make changes to systems and services to support a move to a new credit card payment provider and implement small changes to improve the service
- This major project is planned to initiate in March 2014.
- 5.1.9 Continue to identify opportunities to consolidate infrastructure hardware and software to reduce support overhead and duplicated data silos;
- This is Complete. Consolidation of IT administration services; virtualisation of the telephony infrastructure; consolidation of external data lines to a single supplier.
- 5.1.10 Support the NetRegulate Improvements major project to affect a number of discrete changes within the Registration system to improve function;

- This is complete.

5.2 Information Technology Objective 2:

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

- 5.2.1 Support the NetRegulate Systems Review project 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 major project is in the process of being initiated.
- 5.2.2 Support the Education systems and process review phase 1 project to enhance service and reduce organisational risk;
- This is complete.
- 5.2.3 Implement a public Wi-Fi network for HCPC corporate offices to provide internet access for guests and employees.
- This is complete.
- 5.2.4 Manage a development cycle for the Temporary Registration system to implement a prioritised list of changes to improve the effectiveness of the system;
- This is in user acceptance testing with a planned implementation date of March 2014.
- 5.2.5 Support the project to enable professional indemnity to be managed within the registration system;
- To project plan with an expected delivery in March 2014.
- 5.2.6 Support the analysis and definition phase of the Traditional Chinese and Herbal medicine project in the preparation for the start of regulatory services;
- This project has been rescheduled to align with the legislative timetable.
- 5.2.7 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.

- 5.2.8 Support the 186 Kennington Park Road project in its preparation phase for the redevelopment of 186 Kennington Park Road office building;
- This is complete for this year but will continue into 2014-15.
- 5.2.9 Support the project to annotate the Register. Implementing changes to our register to support the addition and increased control of annotations to the professions;
- This is complete.
- 5.2.10 Support the Web Platform Review project to review requirements for web services from the HCPC; if appropriate select a technology platform and partner to deliver the changes in a separate implementation project;
- This major project has been reprioritised and was not initiated.
- 5.2.11 Replace the HCPC core switch infrastructure to increase the capacity of the network and improve performance;
- To project plan with an expected delivery date of March 2014.
- 5.2.12 Manage a telephony system development cycle to implement a prioritised list of changes to improve the effectiveness of the system;
- This is complete.
- 5.2.13 Implement an upgrade to the server operating environment from Windows server 2003 to Windows server 2008 to retain support;
- This is complete.
- 5.2.14 Extend the cabled network to 186 Kennington park road building to provide additional office space.
- This is complete.
- 5.2.15 Replace the call recording solution with a supported product.
- This is complete.
- 5.2.16 Extend the local area network to 33 Stannary street. This will provide improvements in performance and resilience for those teams based in the Stannary street building.
- This is complete.

5.2.17 Support the delivery of functional changes to the HCPC web sites as determined by the Communications department and managed through the Projects team.

- This is complete.

5.3 Information Technology Objective 3:

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

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

- This was re-planned following the identification of a critical bug in the platform software. It is now undergoing system testing with an expected release early in the 2014-15 fiscal year.

5.3.2 Implement changes to the telephony system to improve resilience and make changes to support business requirements.

- This is complete.

5.3.3 Conduct regular independent penetration tests of our environment to assure effective security controls including an on premise test;

- This is complete.

5.3.4 Upgrade of supporting systems to maintain vendor support and address known issues.

- This is complete.

5.3.5 Upgrade of server operating systems to maintain vendor support and address known issues.

- This is complete.

5.3.6 Implement file integrity monitoring for the external public facing services protecting them from malicious change.

- This has been postponed after commercial terms could not be agreed with the vendor.

5.3.7 Implement an improved remote access method that will improve the stability and reliability of the service enabling users to use non-HCPC equipment securely.

- This is in pilot testing with a scheduled go-live in May 2014.

- 5.3.8 Support the Business Process Improvement team in the delivery of a document control mechanism for the Microsoft personal performance software;
- This was reprioritised by the business.
- 5.3.9 Conduct an annual audit of our license compliance by a third party organisation; and
- This is complete.
- 5.3.10 Review the Capacity Planning for the Infrastructure, building capacity plans for key systems ensuring availability during operating hours.
- This is complete.

5.4 Information Technology Objective 4:

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

- 5.4.1 Refine the processes and develop reporting for the new service desk tool to support new ITIL processes and the service desk function;
- Reporting has been reviewed and enhanced.
- 5.4.2 Continue to build the configuration management database to support effective execution of the problem and change management processes;
- This is complete.
- 5.4.3 Extend the service support team and infrastructure support team. Train the new employees and apply their experience to improve the service; and
- This is complete.
- 5.4.4 Realign the published service levels to better reflect the organisation need against the service catalogue.
- This has been re-prioritised due to the delayed recruitment of a service support analyst.

6 The IT activities in 2014 – 2015

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.

6.1 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.

6.2 Service Catalogue

6.2.1 Application development.

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

6.2.2 Application support.

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

- contracts database;
- employee database system;
- freedom of information system;
- HR starters and leavers system;
- intranet information service;
- IT training book library;
- meeting room/ resource database;
- pass list database;
- private papers document store;
- partners database;
- registration - temporary registration database;
- secretariat – document management system;
- secure transmission of print files; and
- suppliers database.

6.2.3 Case Management.

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

6.2.4 Customer Relationship Management system (CRM).

Availability, capacity and performance management of the customer relationship management system iExtensions.

6.2.5 Data extraction support.

Limited provision of data extraction from key systems to aid complex requirements (initial support for report generation, statistical production and data extraction is within the operations directorate and the information management team).

6.2.6 Desktop telephony.

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

6.2.7 Education.

Availability, capacity and performance management of the education database system.

6.2.8 Email and web browsing.

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

6.2.9 Financial ledger.

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

6.2.10 Financial Purchase Order service.

Availability, capacity and performance management of the PRS financial purchase order system.

6.2.11 Human Resources Information.

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

6.2.12 Online Renewal Portal.

Availability, capacity and performance management of the online renewals system.

6.2.13 Personal computing (including printing and network storage)

Supply, installation and management of personal computers and all associated software and peripheral devices e.g. scanners.

6.2.14 Registration.

Availability, capacity and performance management of the registration system.

6.2.15 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.

6.2.16 Secure telephone credit card payment

Availability, capacity and performance management of the Semafone service.

6.2.17 Service Desk

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

6.2.18 Video Conferencing

Availability, capacity and performance management of the video conference function (excluding the video equipment which is supported by the facilities team).

6.2.19 Web site hosting (Internet, intranet, extranet)

Availability, capacity and performance management of the HCPC websites both internal and external.

6.2.20 Web site

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

6.3 Development

In 2014-2015 the following major and departmental projects will be supported and/or delivered by the IT department. This list is liable to change following decisions of Council in response to changes in the external environment.

Major Projects

6.3.1 Direct debit review

Review of the direct debit administration process including paperless direct debit mandate submission.

6.3.2 Education systems and process review phase 2.

To implement the changes in systems and process identified in the phase 1 project.

6.3.3 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.

6.3.4 HR & Partner systems and process review phase 1.

To review the systems and processes of the HR & Partners department and if appropriate define new processes and identify a technology solution to support the functions.

6.3.5 HR & Partner systems and process review phase 2.

To implement the changes in systems and process identified in the phase 1 project.

6.3.6 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.

6.3.7 NetRegulate system improvement.

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

6.3.8 NetRegulate 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.

6.3.9 Online renewal review & change of payment provider.

Make changes to systems and services to support a move to a new credit card payment provider.

6.3.10 186 Kennington park road

Prepare for the redevelopment of 186 Kennington park road office building. The development work planned to commence in 2015-16.

6.3.11 Sage and PRS upgrade

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

6.3.12 Stakeholder contact management system

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

Departmental Projects

6.3.13 Displacement of technologies

This project will review the opportunities available to remove technologies from the HCPC infrastructure and replace them with Microsoft technology that the HCPC already own the rights to implement.

6.3.14 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.

6.3.15 Improved remote access method

This project will deliver an improved method to remotely access the HCPC IT services that will improve the stability and reliability of the service.

6.3.16 In Focus Distribution

Determine the requirements for and implement a solution to improve the distribution of the In Focus electronic newsletter.

6.3.17 NetRegulate platform refresh

To upgrade the base platforms to apply a number of key feature enhancements to improve availability.

6.3.18 Replace data line services

This project will conclude the migration of services to a single provider enabling an increase in capacity and performance.

6.3.19 Replace legacy servers

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

6.3.20 Secure printing

This project will implement a secure method of printing within the HCPC offices using proximity cards to collect documents from printers.

6.3.21 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.

6.3.22 Text alerts

This project will investigate with the aim of implementing text notifications to Partners relating to last minute appointments.

6.3.23 Upgrade enterprise document and records system (Sharepoint)

This project will upgrade the current implementation of Sharepoint to the most recent version to retain compatibility with other software.

6.3.24 Upgrade Microsoft databases

This project will migrate existing Microsoft databases to a recent version to maintain support and compatibility with other software.

6.3.25 Upgrade server operating systems.

This project will manage the upgrade of existing windows servers from their current version to windows 2008 R2 in order to maintain support and implement new features.

6.3.26 Upgrade supporting systems.

This project will upgrade a number of supporting systems that provide functions such as backup and encryption to maintain support and address known issues.

6.3.27 Video conferencing review

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

6.3.28 Virtual Desktop Infrastructure

This project will implement a virtual desktop pilot programme. The project aim is to prove the viability of running a virtual desktop environment and to build a

business case for a wider deployment in the following year.

6.3.29 Windows 7 improvement

This project follows the successful implementation of Windows 7 in the environment. Following feedback from business users this project aims to make improvements to the service to increase efficiency.

7 Achieving the IT objectives in 2014 – 2015

There are a number of discrete projects and activities that the IT department will perform to achieve the objectives in the coming year. These address specific strategic issues that are categorised under the following strategic objectives:

7.1 Information Technology Objective 1:

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

- 7.1.1 Complete the replace of data line services by a single provider enabling an increase in capacity and performance;
- 7.1.2 Continue to identify opportunities to consolidate infrastructure hardware and software to reduce support overhead and duplicated data silos;
- 7.1.3 Implement a series of improvements to the Windows 7 environment following the conclusion of the implementation of Windows 7 in 2013;
- 7.1.4 Implement an upgrade to the current implementation of Sharepoint to retain compatibility with other software;
- 7.1.5 Implement the replacement of third party software to benefit from existing Microsoft technology that we already own the rights to use;
- 7.1.6 Migrate existing Microsoft databases to a recent version to maintain support and compatibility with other software;
- 7.1.7 Replace legacy servers to maintain support for hardware and compatibility with software;
- 7.1.8 Support the direct debit review project to review the administration process including paperless direct debit mandate submission;
- 7.1.9 Support the Education systems and process review project phase 2 to implement the changes in system and process identified in the phase 1 project;

- 7.1.10 Support the Finance systems Sage and PRS upgrade project; to implement an upgrade to the Sage and purchase order system (PRS) financial systems;
- 7.1.11 Support the Fitness to Practice case management system changes project to implement a series of small functional improvements as a package of changes;
- 7.1.12 Support the In Focus Distribution project to implement a solution to improve the distribution of the In Focus electronic newsletter;
- 7.1.13 Support the HR & Partner process and systems review phase 1 project to enhance service and reduce organisational risk;
- 7.1.14 Support the HR & Partner process and systems review phase 2 project to enhance service and reduce organisational risk;
- 7.1.15 Support the NetRegulate Improvements major project to affect a number of discrete changes within the Registration system to improve function;
- 7.1.16 Support the Online Renewal Review & Change of Payment Provider project to make changes to systems and services to support a move to a new credit card payment provider and implement small changes to improve the service;
- 7.1.17 Support the project to implement text alerts to Partners relating to last minute appointments; and
- 7.1.18 Support the stakeholder contact management system project to implement a customer relationship management system to maintain all external stakeholder information that is not managed by transactional systems.

7.2 Information Technology Objective 2:

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

- 7.2.1 Implement changes to the telephony system to improve resilience and make changes to support business requirements.
- 7.2.2 Implement iPads to the Executive following feedback from the successful deployment to the Council.
- 7.2.3 Manage a telephony system development cycle to implement a prioritised list of changes to improve the effectiveness of the system;
- 7.2.4 Migrate the corporate email service from Domino/Lotus Notes to Exchange/Outlook;

- 7.2.5 Implement a virtual desktop pilot programme. The project aim is to prove the viability of running a virtual desktop environment and to build a business case for a wider deployment in the following year;
- 7.2.6 Support the NetRegulate Systems Review project 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;
- 7.2.7 Support the 186 Kennington Park Road project in its preparation phase for the redevelopment of 186 Kennington Park Road office building;
- 7.2.8 Support the delivery of functional changes to the HCPC web sites as determined by the Communications department;
- 7.2.9 Support the project to enable professional indemnity to be managed within the registration system; and
- 7.2.10 Support the project to review the Hearing function requirement for video conferencing with the aim of creating a more flexible and mobile service.

Information Technology Objective 3:

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

- 7.2.11 Conduct an annual audit of our license compliance by a third party organisation;
- 7.2.12 Conduct regular independent penetration tests of our environment to assure effective security controls including an on premise test;
- 7.2.13 Implement a platform refresh of the NetRegulate system to take advantage of key feature enhancements to improve availability;
- 7.2.14 Implement an improved remote access method that will improve the stability and reliability of the service;
- 7.2.15 Implement a secure printing solution within the HCPC offices using proximity cards to collect documents from printers;
- 7.2.16 Implement upgrades to a number of supporting systems that provide functions such as backup and encryption to maintain support and address known issues;
- 7.2.17 Implement upgrades of server operating systems to maintain vendor support and address known issues;

7.2.18 Implement upgrades of supporting systems to maintain vendor support and address known issues; and

7.2.19 Review the capacity planning for the Infrastructure, building capacity plans for key systems ensuring availability during operating hours.

7.3 Information Technology Objective 4:

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

7.3.1 Continue to build the configuration management database to support effective execution of the problem and change management processes;

7.3.2 Extend the service support team and infrastructure support team. Train the new employees and apply their experience to improve the service;

7.3.3 Realign the published service levels to better reflect the organisation need against the service catalogue; and

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

8 The anticipated IT activities for 2015 - 2016

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

8.1.1 Continuing to improve our processes and procedures;

8.1.2 Determine and execute a desktop strategy based upon the pilot project to deliver the alternative methods for delivering the corporate desktop;

8.1.3 Develop and improve our IT systems resilience;

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

- Implementation of the outcome of the HR and Partners process and system review project;
- Supporting the 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;

- Supporting any implementation project that follows the review of the registration processes and systems;
- Supporting a project to prepare for the regulation of non-medical public health specialists;
- Review and implement a redevelopment of the HCPC web services including the corporate web site; and
- Support the Finance systems and process review project and any consequential implementation projects.

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

9 Risk management

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

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

Please see the appendix A for details.

10 Glossary

BAU.....	Business As Usual
Blackberry.....	Remote mobile diary and calendar management technology
BPI.....	Business Process Improvement
CAPEX.....	Capital expenditure
CRM.....	Customer Relationship Management
Crystal Reports.....	Report writing software package
Customer.....	Individuals who purchase or commissions an IT service
DSL.....	Definitive Software Library
FTE.....	Full Time Equivalent
FTP.....	Fitness to Practice
HPCP.....	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.
ISA.....	Independent Safeguarding Authority
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

11 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 2014	Likelihood before mitigations Jan 2014	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2014	RISK score after Mitigation Sept 2013
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. Perimeter controls enabled.	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
	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 appropriately	Low	Low

									trained.		
	5.5	Malicious damage from unauthorised access	Director of IT	4	2	8	Security is designed into the IT architecture, using external expert consultancy	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	New
Education	7.5	Education database failure	Director of IT	3	2	6	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
HR	11.1	Loss of key HCPC employees (person cover risk)	President, Chief Executive and EMT	4	4	16	Chief Executive succession plan held by HR Director. Succession planning generally	Departmental cross training (partial or full) and process documentation		Low	Low
	11.6	High sick leave levels	EMT	2	3	6	Adequate staff (volume and type) including hiring temporary staff	Return to work interviews and sick leave monitoring	Regular progress reviews	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	New
Policy and Standards	14.4	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	EMT	3	1	3	EMT responsible for remaining up to date relationships with government depts and agencies	HCPC's 5 year planning process	Legal advice sought	Low	Low
Finance	15.2	Unexpected rise in operating expenses	EMT	3	1	3	Budget holder accountability for setting budgets and managing them. Timely monthly reporting and regular budget holder reviews held. Finance & Resources Committee review of the monthly variances year to date.	Six month reforecasts with spending plan revisions as feasible and appropriate.	Legal cost insurance for FTP cases. Capped FTP legal case costs.	Low	Low
	15.3	Major Project Cost Over-runs	EMT	4	2	8	Effective project specification including creating decision points. Effective project management and timely project progress reporting (financial and non financial).	Creation of a project capex contingency budget. Project exception reports including revised funding proposal is presented to EMT for approval.	Finance & Resources Committee review of the project spending variances to date	Low	Low

Data Security	17.1	Electronic data is removed inappropriately by an employee	Director of IT	5	3	15	Employment contract includes Data Protection Agreement	Adequate access control procedures maintained. System audit trails.	Laptop encryption. Remote access to our infrastructure using a VPN . Documented file encryption procedure	Low	Low
	17.3	Loss of electronic data held by third party suppliers in the delivery of their services (general risk)	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. Training where appropriate Employees & (Partners)	Data Processor agreements signed by the relevant suppliers.	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

