

Finance and Resources Committee – 24 November 2011

Education Systems and Process Review Major Project

Executive summary and recommendations

Introduction

The purpose of this paper is to provide the Committee with more detailed information about the Education Systems and Process Review major project. Attached to this paper is the project initiation document, which was created in July 2011. The Executive intend to provide the Committee with an update on progress at every meeting for the duration of the major project.

Summary

The project intends to undertake a full scale review of the existing systems and processes used by the Education Department, to produce a business case and proposed solution for a new information system. This would form a second, separate (yet related) build project.

The key phases for the project are as follows:

- | | |
|--|--------------------------|
| 1. Project initiation | April – July 2011 |
| 2. Business analysis (Includes review of existing systems and processes and fact finding work) | August – November 2011 |
| 3. Tendering (Includes functional and non-functional requirement gathering) | November 2011 – May 2012 |
| 4. Business case | May 2012 |

Progress report

The project initiated successfully in July 2011. The current phase of the project centres on analysis and has involved engaging with an external business analyst and running a series of workshops. A report from the external business analyst has been produced and is currently being considered by the internal project team. A summary will be produced to inform the next phase (tendering) of the project.

Decision

This paper is for information only. No decision is required.

Background information

- Education Department work plan 2011-2012
- Director of Education report - Education and Training Committee – 8 September 2011

Resource implications

The resources are accounted for in the Education Department work plan 2011-2012.

The current project team is as follows:

Project Lead: Abigail Gorringe
Senior Supplier: Guy Gaskins
Senior Users: Brendon Edmonds and Paula Lescott
Project Team: Education Department members
Communications, Registrations and Secretariat Department
representatives

Financial implications

The specific project budget is accounted for as part of the major projects budget for 2011-2012.

The current project budget is as follows:

- Capital expenditure: £109,620
- Operating expenditure: £38,160

The capital expenditure includes budget to engage external consultants to aid us in the business analysis and tendering phases of the project.

The operating expenditure includes budget to support the external consultants, department members and external representatives (visitors and education providers) in in the business analysis phase of the project, as well as temporary staff to provide partial backfill those individuals in substantive posts who are on the project team.

Appendices

Appendix 1 - Project initiation document

Date of paper

4 November 2011

Education Systems Review

Project Initiation Document

Purpose of this document

To describe the purpose of the Education Systems Review project. The document explains objectives of the project, its scope and approach as well as strategic context. It summaries initial project plan and initial resources needed to start the project implementation.

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1. Background

1.1 Project overview

This project will review the systems and processes of the Education Department with the intention to revise and replace them to ensure they remain fit for purpose in the face of continued growth in workload.

The work is to be conducted as two separate but related projects:

- 1) Research and development and
- 2) Build.

The Executive Management Team have authorised the project board to proceed with research and development but further authorisation will be required to move into build.

1.2 Education Department core function

The Education Department produces and maintains an online list of approved education and training programmes for health and social care professionals across the UK.

The majority of education programmes are initial training for health and social care professionals which upon completion confer eligibility for registration with the Health Professions Council. In some cases, the completion of education programmes leads to annotation of an individual's registration record conferring an entitlement to prescribe and dispense medicines or exercise restricted powers under the Mental Health Act.

Individuals who have an approved qualification apply to the Register via the Registration Department process known as the "UK approved programme route". This route to registration is based on the premise that the initial training route has been quality assured by the regulator and therefore the applicant does not need to demonstrate their ability to meet our standards of proficiency as part of the application process. Applicants are still required to complete an application form and health declaration, provide a character reference and pay the appropriate fee as part of the application process. Education providers send us lists of the names of individuals who successfully complete approved programmes on a "pass list" so that applications can be cross-matched for verification. For individuals who complete programmes that lead to annotation, submission of a pass list will prompt a registration record to be updated without the need for an application form to be submitted.

1.3 Education Department core processes

The Education Department operates four operational processes to quality assure education programmes against the standards required to ensure that professionals are safe and effective (standards of proficiency, standards of education and training and standards of conduct, performance and ethics).

- The **approval process** requires a site visit to an education provider to initially approve a programme or to reconfirm approval in the event of significant change to the way in which our standards are met. Once approved a programme is subject to open-ended approval and monitoring by us.
- The **annual monitoring process** requires education providers to submit on an alternating annual basis either a declaration confirming compliance with standards or an audit of changes to programmes.
- The **major change process** requires education providers to inform us of significant change to the way programmes meet our standards either before or after change happens.
- The **complaints process** allows anyone to raise a concern about a programme and for an assessment of compliance with our standards to be made.

The core operational processes generally lead to recommendations being made on a programme's adherence to our standards. The recommendations are reviewed by our Education and Training Committee. The Committee's role and duties are laid out in statute and confer legal authority to approve and withdraw approval from programmes. The recommendations are made by "visitor partners" who are generally members of the particular profession in question but may in some circumstances come from one of the other professions or be a lay person. In some circumstances the complaints process may not require a recommendation from visitors and instead a senior member of the Education Department will make the recommendation.

1.4 Education Department supporting activities and other work

Alongside the operational processes, the Education Department engages in supporting activities to the processes. The supporting activities include:

- Producing and reviewing publications designed to enhance understanding of the standards and processes.
- Maintaining a website which holds the online list of approved programmes and information about the standards and processes.
- Delivering an annual series of stakeholder events to promote understanding of the processes and standards.
- Supporting the work to recruiting, training, appraising and maintain nearly 200 visitor partners.
- Supporting the Education and Training Committee in its governance of its statutory duties.
- Maintaining a complex and replicated set of electronic records related to approved programmes.
- Liaising with stakeholders about the standards and processes through regular engagement and disseminating a tri-annual newsletter.
- Processing of financial information related to operational processes and other departmental expenditure.

On top of the supporting activities we also engage in discrete business as usual projects each year which range from process improvement exercises,

producing new guidance or information for stakeholders, responding to changes in the regulatory landscape, and responding to changes in our own policy and standards. We also engage in a work to support other major projects in the organisation. This project based work is generally specific to a particular financial year and not captured in departmental information systems outside of the shared G drive.

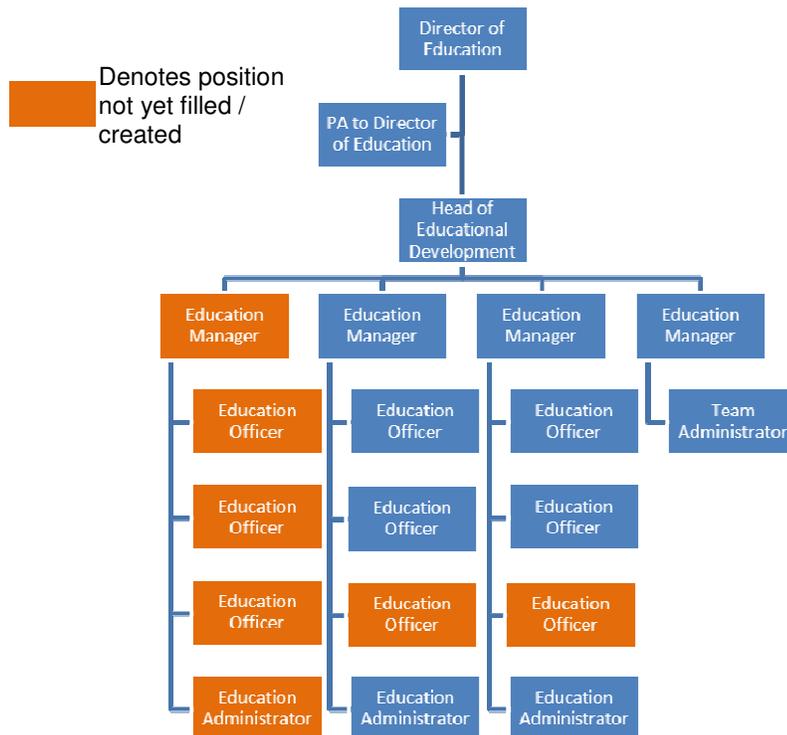
1.5 Current information systems

To currently manage this work, the Education Department uses six different information systems:

- Education database (MS Access and SQL server database used only the Education Department),
- Net regulate (bespoke registrant database used by multiple departments),
- Lotus notes (customer relation management database and email server used by multiple Departments),
- Website content management system (bespoke and used by multiple Departments)
- Shared network drives (G: - Education only and S: drive – shared across the organisation)
- Reporting is currently supported within the Department and performed using Crystal reports.

1.6 Department structure

The projected structure of the Department for 2012/13 is intended to be as follows:



This structure is designed to allow sufficient employees to engage in approval and monitoring processes based on the projected workload of the currently approved programmes and new programmes from the social worker profession. This structure aims to provide three operational teams to engage in approval and monitoring of programmes and a small team to co-ordinate supporting activities whilst middle and senior management engage in work to support development from new professions and other types of new work. This structure does not account for any potential efficiency from the outcomes of this project as outcomes will not be reached until 2013/14 at the earliest. Without efficiencies, the number of Education Officer, Education Manager, Education Administrator and Team Administrator posts will continue to rise in proportion to the approval and monitoring workload.

1.7 Growth in the workload of the Education Department

The table below describes the growth in the number of approved programmes and the associated workload over the last seven years.

| Year | 2005-06 | 2006-07 | 2007-08 | 2008-09 | 2009-10 | 2010-11 | 2011-12 |
|-------------------------------------|---------|---------|---------|---------|---------|---------|---------|
| Total number of approved programmes | 380 | 420 | 450 | 480 | 580 | 630 | 633 |
| Number of approval visits | 27 | 101 | 63 | 42 | 38 | 52 | 68 |
| Number of annual monitoring audits | 51 | 184 | 135 | 136 | 123 | 210 | 155 |
| Number of major changes | 16 | 51 | 62 | 66 | 115 | 91 | 90 |
| Number of complaints | No data | No data | 4 | 0 | 6 | 5 | 7 |

The number of new programmes being generated is greater than the number of programmes closing or having approval withdrawn. Each year there is a general increase of approximately 2-3% in the number of approved programmes as a result.

Significant increases to the number of approved programmes can occur when new professions join the HPC Register. In 2009, 71 programmes were added from the inclusion of practitioner psychologists on the HPC Register. This resulted in a three year period in which there was an increase in the number of approval visits being conducted. Following these visits, the programmes will then move into the monitoring processes and the additional workload will be transferred to annual monitoring and major change.

As the only multi-professional regulator it is likely that the number of approved programmes will continue to be subject to significant increase as new professions join the Register. In 2012 it is likely that we will increase the

number of approved programmes by approximately 200 as a result of social workers joining the Register and see another period of increased activity in the following years. Future increases in the number of approved programmes are more difficult to predict given recent changes in government policy but it appears likely the number of approved programmes will be close to 1000 at the end of the next five years.

With the projected increase in the workload of the Education Department, efficiency within the Department is a priority in order to break the proportional increase in headcount. The annual reports 2006-2010 highlight the department's on-going commitment to meeting service levels. Although service levels are not publicly committed to, they are internal measures used to assess the efficiency of the operational processes each year. Annual report data highlights in some instances the ability to meet service levels continues to be challenging. For instance, in 2007, 94% of visitors' reports were provided to education providers within 28 days of the approval visit. In 2010 this figure was 71%.

Since the growth in numbers of programmes may not only be linked to initial training but also post-registration training there is a need to ensure that our systems and processes are flexible to growth in volume and also range of activities.

2. Project Definition

2.1. Objectives

The overall objectives of both the research and development and build projects are to review and update the Education Department systems and processes to ensure they remain fit for purpose in the face of continued growth in the volume and range of work.

The objective of the research and development project is to conduct activities to identify potential improvements to processes and systems to determine the scope and prepare for the build project.

2.2. Scope

The following information comprises the full scope of the project:

- Engagement of a business analyst to review and refine processes.
- Analysis of good practice taking place within the organisation and externally.
- Identification of improvements to departmental and cross-departmental processes and systems.
- Refinement of departmental and cross-departmental processes.
- Analysis of task times for each step of departmental operational processes.

- Changes to processes and associated documentation requiring approval of the Education and Training Committee.
- Changes to the Education Department requiring approval from the Director of Education and Chief Executive.
- Proposals for wholesale revision or replacement of Departmental information systems (Education Database, Crystal reports, G drive, Excel spreadsheets).
- Proposals for minor revision or improvement of other Department's or shared information systems.
- Setting business requirements for new technical solutions to replace existing Education Department information systems and interface with other departments' information systems.
- Analysis of potential suppliers for the build project.
- Identifying and tendering for suppliers.
- Drafting a business case for the build project for Executive Management Team approval.

The following items are **not** included as part of the project and are therefore out of scope:

- Proposals for wholesale revision or replacement of other Departments' or shared information systems (website CMS, netregulate, Lotus notes, S drive).
- Changes to other Department roles and structures.
- Commencement of tendering and entering into the build project.
- Changes to the standards required for public protection used in the quality assurance processes (Standards of education and training, standards of proficiency and standards of conduct, performance and ethics).
- Changes to processes and associated documentation requiring public consultation.
- Changes to processes requiring legislative changes.

2.3. Deliverables

The following are the main project deliverables from the research and development project:

- Report from the fact-finding exercise.
- Departmental and cross-departmental process documents.
- Summary document of process and systems improvements.
- Business requirements, if required, for the build project.
- Potential suppliers identified and tendering process completed.
- Business case for the build project.

2.4. Constraints

The following constraints were identified as part of the project:

- Whilst financial and resource commitment have been made to the research and development project, the higher relative priority of another project may result in the resource commitment being rescinded.
- HPC is in the early stages of a considerable programme of change as a result of the recent publication of the draft Health and Social Care Bill and the command paper Enabling Excellence, Autonomy and Accountability for Healthcare Workers, Social Workers and Social Care Workers. This project may be affected by the changes to legislation and government policy. However, in the event that a current approved supplier is unable to support the project owing the commitments to another project then another supplier will be approached.
- The HPC Information Technology strategy sets out the strategic intent to avoid divergence of technologies and will to an extent affect decision making about potential suppliers and solutions.
- The Health Professions Order 2001 sets out the quasi-judicial approval process. This process cannot be amended in any way that does not fulfill the requirements of the guiding legislation.
- There are a series of policy decisions that may take place over the life of the project that will affect the requirements but cannot be influenced as they have required public consultation or Education and Training Committee or Council approval. Examples of these policy decisions are: post-registration qualifications, student registration, lay visitor pilot, mutual recognition of home country social worker qualifications. At the current time, assumptions will be made that the most work intensive outcomes will be reached so that scope can be narrowed rather than widened over the life of the project.

2.5. Assumptions

The following assumptions have been made:

- The social worker Register will open in financial year 2012-13 and may as a result impact upon the build stage by either influencing requirements or affecting organisational or supplier resource availability.
- At some point in the future, a decision will be made to increase our role in approving and monitoring post-registration qualifications and significant growth in the number of programmes will not be solely linked to new professional groups.

-
- The lay visitor pilot which is currently ongoing and has not reached a final outcome will reach an outcome that lay visitor partners will be included on all approval visits and monitoring submissions.
 - Education Department processes are currently documented to sufficient detail and do not require complete review in the early stages of this project.
 - That the considerations for student registration currently being made by the Council will reach an outcome that students for all professions are to be registered with HPC.
 - Mutual recognition of social worker programmes in Wales, Scotland and Northern Ireland will take place and be expressed as part of a memorandum of understanding which is part of MP52.

3. Project Approach

The Education Systems Review will be managed by an in-house project manager according to HPC tailored project methodology. The project manager will set up all the necessary project methodology and coordinate project work. The project approach will be as described below:

The Education Systems Review will be delivered using both the in-house expertise of the Education and IT Departments and the external expertise of a business analyst. This will ensure the project team has the wide range of regulatory, analytical and IT related skills needed to complete the Education Systems Review.

Wherever possible the project team will gather advice and requirements from the future users of education systems and stakeholders of the Education Department (i.e. internal employees including cross-departmental links, education providers, and visitors). The project team will also gather information from other regulators and education providers who manage broadly similar processes and functions within their own organisations.

It is recommended that the Education System Review is conducted using the existing processes already established within the department. These processes have been designed and annually reviewed for the past five years. All processes in the department are already documented in great detail and have been exhaustively analysed by internal employees. They contain the level of information required for a business analyst to develop.

The Education Systems Review must provide detailed analysis and refinement of department processes with a view to how technology and departmental systems and processes can be used to improve their efficiency to address an increased workload over the coming years. The recommendations from this project will form the business case for a future project which will design, build and implement these recommendations.

4. Project Control and Communication Plan

4.1. Reporting and Controls

The reporting and control mechanisms listed below will ensure the project board can exercise control over decision making at various level throughout the project.

Project plan

This plan will show the major products of the project, when they will be delivered and the resources involved. The original project plan is detailed in this document. The project board will continually review this plan as the main measure of actual project progress against the original intended plan. This plan forms the main control in place to ensure the project delivers to time, within cost and to the quality desired.

Stage plans

Stage plans may be produced if necessary or at the request of the project lead and/or project manager. Such plans will only be desired should the management and control of a particular stage of the project necessitate a greater level of activity and resource detail than already articulated in the project plan. Like the project plan, stage plans would also be produced and managed by the project manager.

Work packages

Tailored work packages may be produced if necessary at the request of the project lead and/or project manager. Work packages should only be necessary where the management and control of a product for a particular activity of the project necessitates a greater level of information to be available to all stakeholders. Work packages (where necessary) will be created by the project lead, managed by the project manager and actioned by members of the project team. These packages will be defined by the project plan and contain the necessary information required for users to produce the defined products within a specified time period and to cost. The quality of these work packages will be discussed and formally approved by the project lead at project board meetings.

Highlight reports

Highlight reports will be delivered by the project manager to the project board at formal meetings or at the request of the project lead. These reports will detail the progress of the project relevant to the project plan and any stage plans.

Issues log

The issues log will formally capture information which may change the objectives, deliverables, products and desired benefits of the project. The issues log will be maintained by the project manager and continually populated and reviewed by the project board.

Risk log

The risk log will formally capture information which may impact the successful delivery of the project. The risk log is detailed on page 22 of this document and will be maintained by the project manager and continually considered and reviewed by the project board.

Exceptions and delegated authority

The project sponsor has delegated authority to the project lead to deliver the project within the tolerances outlined in 4.2. All decisions related to the project will be signed off by the project lead as part of project board meetings. Decisions which require an exception to the define project tolerance shall be referred to the project sponsor for consideration of approval. Further delegations of authority to other project board and team members shall be stipulated as part of any work packages signed off by the project lead with clear tolerance for the activity defined.

4.2. Project Tolerances

Quality tolerances will be further defined as acceptance criteria are recorded in more detail.

Time tolerance for the project is four weeks to ensure that EMT authorisation for the build project is secured by March 2012 at the latest.

4.3. Communication Plan

4.3.1 Procedure

Communication within the project will occur using a variety of contact methods and will be controlled via the mechanisms highlighted in section 4.1. The project manager will produce reports tailored to the requirements of this project which are also outlined in 4.1.

Formal communication will take place at project board meetings. This will provide an opportunity for key stakeholders representing all facets of the project to receive and share information. A review of risks and issues pertinent to the delivery of the project will occur during each project board meeting. The project plan and any stage plans will also be reviewed with focus on relevant stages as directed by project board members.

The project sponsor will maintain regular contact with the project lead to be informed of project progress. The project sponsor will be responsible for communicating progress of the project to the Executive Management Team and at relevant Committee and Council meetings.

The project manager will maintain regular contact with project board members (as and when necessary) to manage the day to day activities of the project and will continue to record risks and issues as they arise. This will most probably occur over email, phone or as necessary via face to face meetings. The project manager will deliver work packages to project team members throughout the life of the project as defined by the project and stage plans. The project manager will act as the primary contact for any external suppliers engaged in the project. However it is anticipated external suppliers will work with most project board and project stakeholders at various points throughout their appointment to this project.

The project lead and senior users will be responsible for communication to the Education department, other HPC users, the Cross Directorate Team and external education based stakeholders identified who all have varying degrees of interest in the project objectives, outcomes and desired benefits. The methods for this communication are dependent on the progress of the project through various stages. A combination of all-staff, department and specific user meetings (on-site, off-site, visitor training) will be used to share and gather information.

These communication procedures will provide the necessary framework to ensure the project lead and board has the necessary information to ensure the project meets the requirements as specified in this document.

4.3.2 Tools

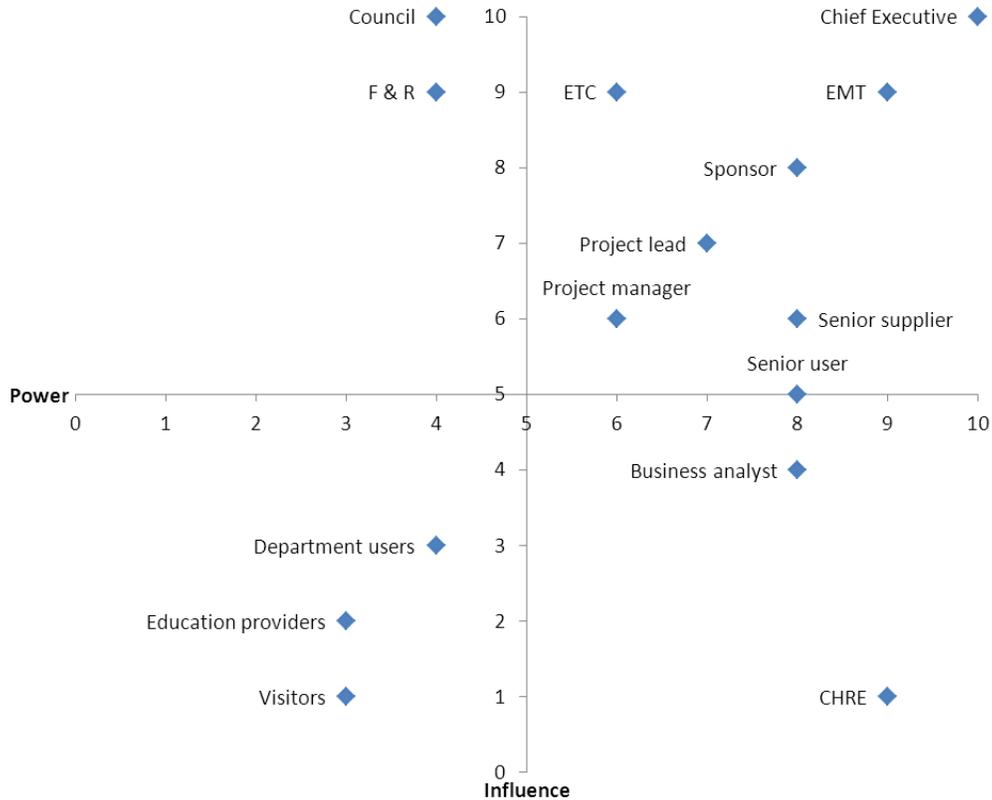
- Project board meetings
- Department / all-staff meetings
- Specific user meetings
- Email/Phone
- Reporting and control mechanisms (Section 4.1)

4.3.3 Timing of communication

This will be broadly defined by the project and stage plans produced. Formal meetings (project board) will be scheduled in advance and milestones will dictate the delivery work packages to meet these targets. Communication will be tailored according to the requirements of each role and managed primarily by the project manager.

4.3.4 Stakeholder analysis

The graph below plots the various stakeholders involved with the project and their ability to exert power and influence over the projects outcomes.



Different stakeholders will require tailored communication from the project team depending on their interest, influence and power over the project.

| Stakeholder | Freq. of information | Types of communication | Communication channels |
|--------------|----------------------|---|---------------------------------------|
| Project lead | High | Regular communication from all stakeholders (as required/requested) to be informed of project status and to be able to make effective decisions throughout the life of the project. | Project board reporting (Section 4.1) |

| | | | |
|---------------------|--------|---|---|
| Senior user | High | Information which impacts the current systems, processes and users within the Education department and organisation. | Project board reporting (Section 4.1) |
| Senior supplier | High | Information which impacts the current and future provision of systems infrastructure and any implementation and maintenance resource planning. | Project board reporting (Section 4.1) |
| Project Manager | High | Regular flow of communication from all stakeholders (as required/requested) to be informed of project status and to manage the day to day delivery of project activities. | Project board reporting (Section 4.1) |
| Department users | Low | Information detailing the requirements of current and future systems and processes. | Department meetings (monthly), Team meetings (weekly), Specific user sessions |
| Business analyst | Medium | Information to inform recommendations about current and future systems and processes. | Project board reporting (Section 4.1) |
| Project sponsor | High | Regular information to be satisfied the project remains within scope, cost, time and will continue to deliver desired benefits to the organisation. | Project board reporting (Section 4.1) |
| Education providers | Low | Information detailing the requirements of current and future | Education update, visitor engagement |

| | | | |
|---|------|---|---|
| | | systems and processes. | session |
| Visitors | Low | Information detailing the requirements of current and future systems and processes. | Education update, visitor engagement session |
| Council for Healthcare Regulatory Excellence (CHRE) | Low | Information about future requirements to address performance and development targets in previous annual reports. | Formal correspondence (Project sponsor) |
| Executive Management Team (EMT) | High | Information about the progress of the project to be satisfied the project remains within scope, cost, time and will continue to deliver desired benefits to the organisation. | Project Scorecard |
| Committees (ETC, F&R) | High | Information about the progress of the project to be satisfied the project remains within scope, cost, time and will continue to deliver desired benefits to the organisation. | Director of Education report (ETC), Project scorecard (F&R) |
| Council | High | Information about the progress of the project to be satisfied the project remains within scope, cost, time and will continue to deliver desired benefits to the organisation. | Chief Executive report, Project scorecard |
| Chief Executive | High | Information about the progress of the project to be satisfied the project remains within scope, cost, time and will continue to deliver desired benefits to the organisation. | Project Scorecard |

5. Initial Business Case

5.1. How the project supports the business strategy

With the projected increase in the workload of the Education Department, efficiency within the department is a priority in order to maintain the current service level agreements and minimise the increase in required headcount. We also need to ensure that our systems and processes are flexible to growth and variation. If efficiencies and scalability are not realised, we run the risk of isolating key stakeholder groups (education providers and new professions) and encountering criticism from Council/Committee and CHRE in its handling of our education work. (References 1.5, 4.3 and 7.4 in the risk register). This project also has the scope to develop the proactive nature of the work of the wider organisation and Council/Committee by contributing to the evidence base of regulation, which in turn will help influence the regulatory agenda. These are both key objectives in the Council's strategic intent.

Therefore, it is proposed that an analysis of the options available is undertaken to both consolidate and link the multiple information systems and integrate a reporting function. If a suitable solution is found, it is proposed that the solution is implemented.

This project aims to produce a more reliable, pivotal, scalable and partially-automated education system, which will allow the Education Department to work more efficiently, proactively and in a more integrated manner, with both internal and external customers.

5.2. Reasons why the project is needed

To currently manage their workload, the Education Department use four different information systems (Education database, Net regulate, lotus notes and the content management system of the website) as well as information stored on the shared (g) drive. The information on the shared (g) drive includes contact information, template letters and correspondence and documentation received from education providers. None of the information systems include a reporting tool. To currently report and monitor work, the Education Department use crystal reports (internally created by the department) to report from the Education database.

The Education Department currently runs four operational processes (approvals, annual monitoring, major change and education provider complaints) alongside other related activities such as communication with education providers (e.g. annual series of seminars, tri-annual Education Update).

The current systems and processes have grown over time and independently of each other and such constant and continued growth are creating

inefficiencies and risks in the effective delivery of the HPC’s education strategy and legal requirements (see below for further details).

The number of approved programmes has increased by 41% over the last five years and the five year plan conservatively predicts a further 44% growth by the end of the 2016/17 financial year¹. This further growth can be attributed to both the on-boarding of new professions and the existing professions developing new programmes (even at a reduced rate given the uncertainty in current funding for education). For the Education Department, the number of approved programmes is fundamental to determining the impact of the on-boarding of a new profession, rather than the number of registrants. There is no correlation between the size of a profession and the number of pre-registration training programmes. In addition, the type of approved programmes is likely to be quite different in some of the new professions compared to our current professions. We are likely to see an increase in both education providers outside of higher education (i.e. private education providers, further education colleges and professional body awards). This means our systems and processes need to be flexible to cope with various education models.

The limitations of the current information systems mean that the majority of our reporting and analysis work has been internally focused on the approval and monitoring processes. Better data integration and manipulation would allow us to develop more intelligent trends analysis across the ‘registrant life cycle’, linking the education, registration and fitness to practice processes together. This would assist in the delivery of the HPC’s strategic intent to ‘build the evidence base for regulation’ as well as allowing the Education Department to specifically identify different or more substantiated risks.

Issues with current systems:

Having multiple information systems is causing:

- Substantial duplication of effort – changes and updates to education provider information (both status and contact details) always need to be entered into a minimum of four information systems simultaneously.
- An increased risk that education provider information is not recorded or updated accurately in all the relevant systems – which can lead to confusion and dissatisfaction for both education providers and the Registrations Department as well as incorrect decision-making by the

¹

| | Budget | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|-------------------------------|---------|---------|---------|---------|---------|---------|
| | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| Number of approved programmes | 637 | 850 | 867 | 884 | 902 | 920 |

Registrations Department (which in turn has an implication on the work of registrations panels).

- An increased risk that the links between the various processes and systems are not made automatically – which can lead to incorrect and contradictory information being relayed to education providers, incorrect decisions being made by ETC and ineffective implementation of the monitoring processes especially.

Lack of functionality is leading to the following risks:

- Inaccurate data being input due to lack of data formatting verification.
- Incomplete data being input due to reliance on individual employee knowledge.
- Inaccurate and incomplete data being input due to either lack of, or limited differentiation in user access rights.
- Data loss due to either lack of, or limited write protection on data
- Data loss in the case of a disaster due to partial-reliance on paper files.
- Poor data security due to either lack of, or limited security control on systems.
- Risk of key process objectives being missed due to manual review of linkages between processes.
- Inaccurate and incorrect reporting and publication of information due to data inaccuracies (e.g. data forms the basis for Council/Committee decision-making and annual report(s)).
- Flawed reporting and statistical information due to the reliance on Department employees' technical skills.
- Poor relationship management due to a lack of easily accessible and manipulatable contact information.

Lack of functionality is leading to the following inefficiencies:

- Long-winded administrative parts of the approval and monitoring processes due to the need to manually review, cross-check and amend multiple information systems and paper files.
- Unutilised skills of certain roles within the Department due to time spent on data entry and verification (e.g. Education Officers, Education Managers).
- Inefficient processes around workload management due to the need to reference multiple information systems and manually create reports and manipulate data to report on workload progress.
- Inefficient processes around budgetary forecasting and monitoring and trends analysis due to the need to reference multiple information systems and manually create and manipulate data.
- Time-consuming reporting of education trends to Council/Committee and for inclusion in induction/presentation sessions.
- Slow customer service response rates due to the need to reference multiple information systems.

Issues with the support arrangements of the current database

One of the current information systems used by the Education Department is the education database. This database was built in-house and has traditionally been supported by one expert in the IT department, with both unplanned issues and long term enhancements being supported via the standard IT ticketing system. This type and level of support has proved impractical and unsustainable over the last two years requiring external developers to be brought in at extra cost and employee time to integrate new functionality.

Continuing to support the existing database opposes the current IT strategy on a number of points. The IT strategy does not support the development or maintenance of bespoke in-house software systems; instead the IT strategy supports the purchasing of commercial off-the-shelf (COTS) products. The structure and size of the IT department cannot sustain the current bespoke in-house database.

6. Initial Project Plan

The initial project plan available here:

May – June 2011

1. Initiate project
2. Verify all processes are documented and validated

July – September 2011

3. Identify systems functionality requirements (internal)

November – December 2011

4. Investigate different bespoke or off-the-shelf products plus network architecture solutions (internal plus external consultancy)
5. Analyse each option for benefits and determine best fit

January - February 2011

6. Tender build project work to identified suppliers
7. Finalise business case and produce draft tender documents
8. Seek authorisation from Executive Management to proceed to the build project.

7. Initial Risk Log

| Risk Name | Description | Probable consequence | Impact | Likelihood | Mitigation |
|------------------------------------|---|---|---------------|-------------------|--|
| Health and Social Care Bill (HSCB) | The legislation currently being considered in | Could result in changes to HPC role in social care regulation and | High | Low | Difficult to mitigate as the risk is external to HPC |

| | | | | | |
|------------------------------|---|--|------|-----|---|
| | UK Parliament is subject to change. | the future provision of voluntary registers. | | | influence. |
| Resource availability | The project requires availability of employees within the Education Dept, across the organisation and externally. | Employees not available to engage in process analysis and requirements gathering due to operational commitments. | Med | Med | Communication plan identifies the communication needs of stakeholders. Project plan should identify key milestones for communication and which method can be used. |
| Re-prioritisation of project | Major projects are prioritised within the organisation based on business justification and available resource. | Due to the current influences of change (primarily to do with HSCB, Enabling Excellence Command Paper, Voluntary assured registers) EMT decide the project must be re-prioritised. | High | Med | Difficult to mitigate as the risk is external to the project itself. Project board must monitor continually monitor project environment to inform decision making (eg. Committed spends, resource allocations). |

8. Acceptance Criteria and Quality Plan

The Quality Management Strategy for this project will rely a process of quality checking by user assurance before acceptance takes place at project board level. Final decisions for acceptance will be made by the project lead in the event that established acceptance criteria have not and cannot be met without additional time or cost implications within tolerance. If time, cost and quality are impacted beyond accepted tolerance levels, the decisions will be escalated to the project sponsor.



Acceptance criteria need to be further defined, but user expectations for various products and activities are outlined below:

User expectations for fact-finding report

- Focused on technical, administrative and policy approaches to managing quality assurance of education
- Organisations selected for review have broadly similar function related to education or regulation.
- Report highlights strengths, weaknesses, opportunities and threats of differing organisational approaches.
- Recommendations are made for areas for inclusion in the requirements.

User expectations for refined process documentation

- Appropriate level of detail for defining requirements for technical solutions.
- Comprehensive of all Departmental and cross-departmental processes.
- Compatible with HPC management system.
- Decreased replication of information recording and administration.
- Informed by internal and external good practice collated in fact finding report.
- Compliance with the Health Professions Order, 2001 (including subsequent amendments).
- Education and Training Committee approval if changes to processes of a significant nature are required.

User expectations for requirements

- Based on broad consultation with key stakeholders (Education Department, Registration Department, Fitness to Practise Department, Partners Department, Communications Department, IT Department, Visitor Partners, education providers)
- Decreased replication of records (one data master)
- Informed by internal and external good practice
- Increased accessibility for both internal and external colleagues
- Decreased reliance on paper
- Compliance with the Health Professions Order, 2001 (including subsequent amendments)

- Decreased burden on education providers (requests for information are made once, education providers can manage their information)
- Decreased burden on visitors (visitors can manage their information, requests for information are made once)
- Decreased burden on employees (automation requires less input to run simple administrative processes, data collection and manipulation is built into the system)
- Scalable to cope with growth of number of programmes
- Flexible to cope with growth in range of activities
- Increased integration and automation between cross-departmental systems and processes.

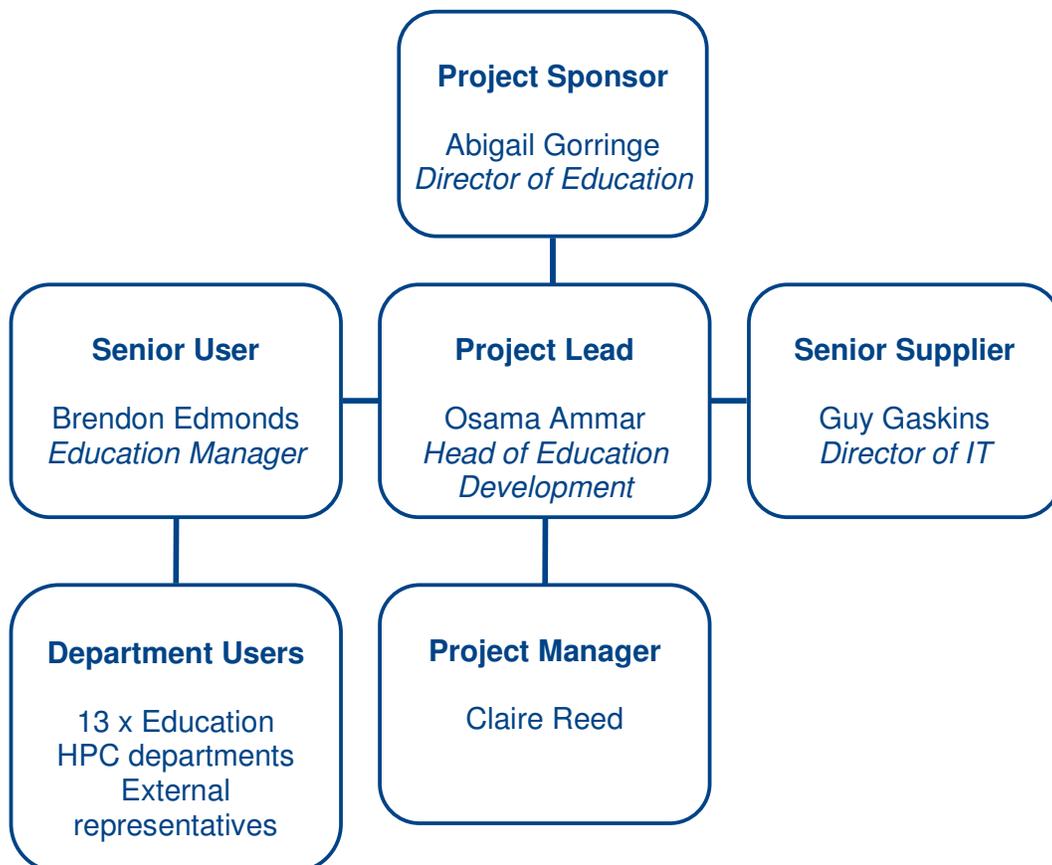
User expectations for tendering process and documents

- Compliance with HPC tendering policy and process
- Compliance with the HPC Information Technology Strategy

User expectations for build project business case

- Compliance with HPC project management methodology
- Projected growth of Department based on current data

9. Project Organisation Structure (current)



9.1. Role Description

Project Sponsor: The Director of Education sits on the Executive Management team and acts the provider of resources (monetary and staff) for the completion of this project and approves the projects place in delivering the strategic intent of the department and organisation.

Project Lead: The Head of Education Development will be accountable for the success of the project and is the key decision maker on the project board. This role will ensure the project is focused throughout its life on achieving its objectives and delivering a product that will achieve the forecasted benefits.

Project Manager: Responsible for the day to day management of the project and has the authority to run the project on behalf of the project board within the constraints laid down by the project board.

Senior User: The Education Manager will be responsible for specifying the needs of those who will use the project's products, those for whom the products will achieve an objective or those who will use the products to deliver benefits. This role will be focused on delivering specified work packages and will work to the delegated authority of the project lead.

Senior Supplier: Represents the interests of those designing, developing, facilitating, procuring and implementing the project's products. This role will provide expertise of the organisational context which will influence the products of the project.

Department Users:

Education (13 users)

Employees from the Education Department who are the primary users of the systems and processes and will contribute to their analysis and refinement.

HPC departments (1 user from each)

Representatives from other departments across the organisation with whom shared processes exist will be engaged at various points in the project. It is envisaged this would include employees from Fitness to Practice, Registrations, Partners, Communications and Finance departments.

External representatives

Representatives from education providers, visitors and other regulatory bodies (CHRE, other regulators) who will be engaged to contribute to the analysis and refinement of Education Department processes.