

Finance and Resources Committee, 19 March 2013

Information Technology Work Plan 2013-2014

Executive summary and recommendations

Introduction

This paper sets out the Information Technology Department's work plan for the financial year 2013- 2014.

Decision

The Committee is asked to discuss and agree the work plan

Background information

This document is intended to support the HCPC strategy and IT strategy, and sits alongside other departmental strategy documents and work plans.

Resource implications

The resource implications of the attached document are assumptions which are already part of the HCPC budget for 2013 – 2014

Financial implications

The attached paper's assumptions are all accounted for in the current version of the HCPC budget for 2013 – 2014

Appendices

Appendix 1- Work plan 2013-14 IT v01 FINAL

Date of paper

5 March 2013

Information Technology Work Plan 2013 – 2014

First published in March 2013

Guy Gaskins, Director of Information Technology

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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 changes that provide solid foundations to support the cycle of change as the HCPC evolves.
- 1.5 As an internal service provider, the IT function operates proactively managed services to enable current business processes to function.

A significant element of the service is reactive to incidents in the infrastructure and changes to business priorities as HCPC adapts to the changing external environment.

- 1.6 The continuing 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 2013-2014.
- 1.9 The document provides a basis against which the work of the IT department can be planned and measured.

¹ Strategic Intent Document 2012 – 2015 first published April 2012

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 seven employees but will be expanded to nine employees in 2013-14:

Guy Gaskins	Director of Information Technology
Greg Legendziewicz	IT Support Analyst
James McMahon	IT Support Analyst
Jason Roth	IT Infrastructure Support Manager
Richard Watling	IT Infrastructure Support Engineer
Rick Welsby	IT Service Support Manager
Ken Yu	IT Infrastructure Support Engineer

3.2 Role descriptions

3.2.1 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.

3.2.2 Service Support Team

3.2.3 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 applications providing email and specialist application services.

3.2.4 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 team; they operate the service desk function and provide first and second level support for PC and business application services.

3.2.5 Infrastructure Support Team

3.2.6 IT Infrastructure Support Manager

The role is responsible for the network and server hardware infrastructure support and development including backup and recovery, availability and capacity management. The infrastructure supports most of the business services delivered by the IT function.

3.2.7 IT Infrastructure Support Engineer

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

3.2.8 Resource allocation

The IT resource has been allocated against three categories of work: business as usual (BAU), major project delivery and small project delivery.

Priority for resource is given to maintaining current services i.e. BAU 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 security testing etc.

Small project delivery effort has been estimated looking at the high level project objectives.

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

Category	HCPC IT FTE
Business-as-usual	3
Small projects	1
Major projects	3

4 Financial resources

4.1 This work plan assumes an operating budget of £1,424,000 and a capital budget of £293,000.

	2012-2013 Budget (,000)	2013-2014 Budget (,000)	% difference
Operating Expenditure (excluding depreciation)	£1,269	£1,424	15.5
Capital Expenditure	£191	£293	53.4

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

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

4.3 The increase in capital expenditure is mainly due to:

- Replacement of the core network switch;
- Increase in storage requirements following the increased HCPC head count and transfer of the social worker register;
- Improvements to the telephony infrastructure;
- Extension of the network to 33 Stannary St; and
- Improvements to remote access for roaming users.

5 Achieving the IT Objectives in 2012 – 2013

Progress against the objectives set for 2012 – 2013 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 FTP Case Management system major project to enhance service and reduce organisational risk within key FTP processes;

- Completed successfully.
- 5.1.2 Support the Education systems and process review project (phase 1) to enhance service and reduce organisational risk;
- Completed successfully.
- 5.1.3 Support the HR & Partner process and systems review project to enhance service and reduce organisational risk;
- To project plan expected to deliver in 2013-14.
- 5.1.4 Support the Fitness to Practice case management system changes project to implement a series of small functional improvements as a package of changes;
- To project plan expected to deliver in 2013-14.
- 5.1.5 Support the project to automate readmissions allowing readmission forms to be processed automatically through a scanning solution;
- Completed successfully.
- 5.1.6 Support the online renewal form request project to produce web functionality to enable renewal forms to be requested without the need to telephone the registrations team;
- Completed successfully.
- 5.1.7 Continue to identify opportunities to consolidate infrastructure hardware and software to reduce support overhead and duplicated data silos;
- This is an on-going activity.
- 5.1.8 Support the NetRegulate Improvements major project to affect a number of discrete changes within the Registration system to improve function; and
- Completed successfully.
- 5.1.9 Deliver a development change cycle for the service desk system (Livetime) to extend the function to the Facilities function;
- Completed successfully.

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 FTP Case Management system major project to enhance service and reduce organisational risk within key FTP processes;
- Completed successfully.
- 5.2.2 Support the Education systems and process review project (phase 1) to enhance service and reduce organisational risk;

- Completed successfully.
- 5.2.3 Support the project to transfer the register of social workers to the HCPC;
- Completed successfully.
- 5.2.4 Support the new name project to change references to the HCPC to the new name following the transfer of the social workers register;
- Completed successfully.
- 5.2.5 Support the analysis and definition phase of the Traditional Chinese and Herbal medicine project in the preparation for the start of regulatory services;
- Project postponed in order to meet legislative timetable.
- 5.2.6 Implement upgrades to a number of supporting systems that provide functions such as backup and encryption to maintain support and address known issues;
- Completed successfully.
- This includes: HR Info and HR Professional; Enteo; Symantec (malware); Sophos (security); Express Metrics (audit); DocXP (scanning); Kofax (scanning); Tripwire (log management); Application manager (monitoring); VMWare (virtualisation); HP SAN (storage); NetBackup (backup); Cisco ASA (firewall); Blackshield (security); SQL server (database); domain controller (security); Semafone (credit card payment); web application firewall; load balancer; and intrusion detection system.
- 5.2.7 Support the expansion and refurbishment of the building space to enable employees to work effectively;
- Completed successfully.
- 5.2.8 Manage a telephony system development cycle to implement a prioritised list of changes to improve the effectiveness of the system;
- Completed successfully.
- 5.2.9 Reduce the number of data and functional silos, consolidating application requirements to support generic business functions across teams and directorates;
- This is being addressed through the Education major project and the HR and Partners major project.
- 5.2.10 Implement an upgrade to the server operating system from Windows server 2003 to Windows server 2008 to retain support;
- The servers identified to be upgraded this year have been completed successfully. Further servers will be upgraded in 2013-14 financial year.
- 5.2.11 Implement an enhancement to the storage area network to increase the capacity of the centralised storage for the IT infrastructure;
- Completed successfully.

5.2.12 Implement an upgrade to the Lotus Notes mail system to enable a number of new features that are required for the HCPC intranet service; and

- Completed successfully.

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

- Completed successfully.

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 an upgrade to the operating system of the NetRegulate system to take advantage of key feature enhancements to improve availability;

- To project plan expected to be delivered early in the 2013-14 financial year.

5.3.2 Implement a disaster recovery solution for the Blackberry mobile personal mailing service as determined in 2011-2012;

- Project postponed. This has been de-prioritised following changes to the Blackberry service and an anticipated future move to Microsoft Outlook.

5.3.3 Conduct quarterly independent penetration tests of our environment to assure adequate security controls;

- Completed successfully.

5.3.4 Support the Business Process Improvement team in the production of a Gap analysis between the current state of information security as compared against the ISO27001 standard;

- Completed successfully.

5.3.5 Support the Business Process Improvement (BPI) team in the delivery of a document control mechanism for the Microsoft personal performance software;

- This project has been postponed to the new financial year following a re-prioritisation from the BPI team.

5.3.6 Review and if necessary re-issue the corporate IT policy to take into account changes in the way HCPC utilises internal and external information systems to perform its functions;

- This is on plan with an expected completion at the end of the 2012-13 financial year.

5.3.7 Conduct an annual audit of our license compliance by a third party organisation;

- Completed successfully.

- 5.3.8 Review the capacity planning for the infrastructure, building capacity plans for key systems ensuring availability during operating hours.
- This is an on-going activity. Capacity planning has been performed for our major systems.

5.4 Information Technology Objective 4:

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

- 5.5 Refine the processes and develop reporting for the new Service desk tool to support new ITIL processes and the Service desk function;
- This has been re-prioritised and will be address after the service support team has been expanded.
- 5.6 Continue to build the configuration management database to support effective execution of the problem and change management processes;
- This is an on-going activity.
- 5.7 Develop the Software Catalogue to include server software and define the Definitive Software Library (DSL) where software will be stored;
- Completed successfully.
- 5.8 Realign the published service levels to better reflect the organisation need against the service catalogue;
- This has been re-prioritised and will be address after the service support team has been expanded.

6 IT Activities in 2013 – 2014

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

6.2 Existing Service Catalogue

6.2.1 Application development

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

6.2.2 Application support

Availability, capacity and performance management of the many 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 for functions (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 Mobile personal mailing service

Availability, capacity and performance of the Blackberry service enabling remote, personal diary and mail synchronisation.

6.2.13 Online Renewal Portal

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

6.2.14 Personal computing (including printing and network storage)

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

6.2.15 Registration

Availability, capacity and performance management of the registration system.

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 2013-2014 the following major and small 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 MP46 - Education systems and process review phase 2.
To implement the changes in systems and process identified in the phase 1 project.
- 6.3.2 MP63 – 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.
- 6.3.3 MP## – HR & Partner Systems and Process review phase 2.
To implement the changes in systems and process identified in the phase 1 project.
- 6.3.4 MP## - 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.
- 6.3.5 MP66 - 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.
- 6.3.6 MP59 - Traditional Chinese medicine and Herbal medicine.
To support the analysis and definition phase of the project in preparation of the start of regulatory services.
- 6.3.7 MP67 - NetRegulate System Improvement.
Implement a series of small functional improvements to the NetRegulate Registration system as a package of changes.
- 6.3.8 MP69 - Professional Indemnity.
Make changes to systems and processes to comply with the requirement for registrants to hold professional indemnity insurance.
- 6.3.9 MP## - In Focus Distribution.
Determine the requirements for and implement a solution to improve the distribution of the In Focus electronic newsletter.

- 6.3.10 MP## - Online Renewal Review & Change of Payment Provider.
Make changes to systems and services to support a move to a new credit card payment provider.
- 6.3.11 MP## - Web Platform Review.
Perform research and analysis with stakeholders to determine the requirements for web services from the HCPC. Select a technology platform and partner to deliver the changes in a separate implementation project.
- 6.3.12 MP68 - Annotation of the Register.
Implement changes to our register to support the addition and increased control of annotations to the professions.
- 6.3.13 MP70 - 186 Kennington Park Road.
Prepare for the redevelopment of 186 Kennington Park Road office building. The development work planned to commence in 2014-15.
- 6.3.14 MP## - 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.

Small Projects

- 6.3.15 DP1 – NetRegulate platform refresh.
To upgrade the base platforms to apply a number of key feature enhancements to improve availability.
- 6.3.16 DP2 – 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.
- 6.3.17 DP3 – Extending the network to 33 Stannary street.
This project will involve civil engineering works to physically extend the HCPC network to the 33 Stannary street building. This will provide improvements in performance and resilience for those teams based in the Stannary street building.
- 6.3.18 DP4 – Upgrade of 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.
- 6.3.19 DP5 – 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.

6.3.20 DP6 – Implement File Integrity Monitoring.

This project will introduce a security monitoring service for the external public facing services protecting them from malicious change.

6.3.21 DP7 – 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.

6.3.22 DP8 – Document control.

Support the Business Process Improvement team in the delivery of a document control mechanism for Microsoft personal performance software e.g. Word. This will enforce the categorisation of documents when created or amended as part of ISO9001 compliance

6.3.23 DP9 – Replace the HCPC core switch.

This project will replace the core switch infrastructure to increase the capacity of the network and improve performance.

6.3.24 DP10 – On premise security testing.

This project will perform a security test within the premises of the HCPC by an independent security company. The aim will be to identify any security weaknesses, rate their risk and develop a plan to address the findings.

7 Achieving the IT Objectives in 2013 – 2014

There are a number of objectives that the IT department will need to achieve in 2013 – 2014:

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 Support the Education systems and process review project phase 2 to implement the changes in system and process identified in the phase 1 project;

7.1.2 Support the HR & Partner process and systems review phase 1 project to enhance service and reduce organisational risk;

7.1.3 Support the HR & Partner process and systems review phase 2 project to enhance service and reduce organisational risk;

7.1.4 Support the Fitness to Practice case management system changes project to implement a series of small functional improvements as a package of changes;

- 7.1.5 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.
- 7.1.6 Support the In Focus Distribution project to implement a solution to improve the distribution of the In Focus electronic newsletter.
- 7.1.7 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
- 7.1.8 Continue to identify opportunities to consolidate infrastructure hardware and software to reduce support overhead and duplicated data silos;
- 7.1.9 Support the NetRegulate Improvements major project to affect a number of discrete changes within the Registration system to improve function; and

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7.2 Information Technology Objective 2:

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

- 7.2.1 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;
- 7.2.2 Support the Education systems and process review phase 1 project to enhance service and reduce organisational risk;
- 7.2.3 Support the Education systems and process review project phase 2 to implement the changes in system and process identified in the phase 1 project;
- 7.2.4 Support the project to enable professional indemnity to be managed within the registration system;
- 7.2.5 Support the analysis and definition phase of the Traditional Chinese and Herbal medicine project in the preparation for the start of regulatory services;
- 7.2.6 Implement upgrades to a number of supporting systems that provide functions such as backup and encryption to maintain support and address known issues;

- 7.2.7 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 project to annotate the Register. Implementing changes to our register to support the addition and increased control of annotations to the professions;
- 7.2.9 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;
- 7.2.10 Support the 186 Kennington Park Road project in its preparation phase for the redevelopment of 186 Kennington Park Road office building;
- 7.2.11 Replace the HCPC core switch infrastructure to increase the capacity of the network and improve performance;
- 7.2.12 Manage a telephony system development cycle to implement a prioritised list of changes to improve the effectiveness of the system;
- 7.2.13 Reduce the number of data and functional silos, consolidating application requirements to support generic business functions across teams and directorates;
- 7.2.14 Implement an upgrade to the server operating environment from Windows server 2003 to Windows server 2008 to retain support;
- 7.2.15 Extend the network to 33 Stannary street. This will provide improvements in performance and resilience for those teams based in the Stannary street building.
- 7.2.16 Support the delivery of functional changes to the HCPC web sites as determined by the Communications department and managed through the Projects team.

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Information Technology Objective 3:

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

- 7.2.17 Implement platform refresh of the NetRegulate system to take advantage of key feature enhancements to improve availability;
- 7.2.18 Implement changes to the telephony system to improve resilience and make changes to support business requirements.

- 7.2.19 Conduct regular independent penetration tests of our environment to assure effective security controls including an on premise test;
- 7.2.20 Upgrade of supporting systems to maintain vendor support and address known issues.
- 7.2.21 Upgrade of server operating systems to maintain vendor support and address known issues.
- 7.2.22 Implement file integrity monitoring for the external public facing services protecting them from malicious change.
- 7.2.23 Implement an improved remote access method that will improve the stability and reliability of the service.
- 7.2.24 Implement an improved remote access method that will improve the stability and reliability of the service.
- 7.2.25 Support the Business Process Improvement team in the delivery of a document control mechanism for the Microsoft personal performance software;
- 7.2.26 Conduct an annual audit of our license compliance by a third party organisation; and
- 7.2.27 Review the Capacity Planning for the Infrastructure, building capacity plans for key systems ensuring availability during operating hours.

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7.3 Information Technology Objective 4:

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

- 7.3.1 Refine the processes and develop reporting for the new service desk tool to support new ITIL processes and the service desk function;
- 7.3.2 Continue to build the configuration management database to support effective execution of the problem and change management processes;
- 7.3.3 Extend the service support team and infrastructure support team. Train the new employees and apply their experience to improve the service; and
- 7.3.4 Realign the published service levels to better reflect the organisation need against the service catalogue.

Timescale March 2014

8 IT activities for 2014 - 2015

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 Investigate alternative methods for delivering the corporate desktop to reduce the reliance on physical personal computers;

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 the project to review the registration processes and systems;
- Opening a register for traditional Chinese and herbal medicine practitioners;
- 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;
- Review and implement as appropriate a migration from Lotus Notes mail services to Microsoft Outlook; and
- Support the Finance systems and process review project and any consequential implementation projects.

8.1.5 We will also deliver the agreed Small 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 2013	Likelihood before mitigations Jan 2013	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2013	RISK score after Mitigation Sept 2012
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 HPC 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	HPC'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 and nine 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)	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. Physical transfer of back up tapes using a specialist company with locked boxes and sign out procedure.	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	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

