

Finance and Resources Committee Meeting 19<sup>th</sup> March 2008

Information Technology Workplan 2008/2009

Executive summary and recommendations

**Introduction**

This paper sets out the Information Technology Department's workplan for the financial year 2008/2009

**Decision**

The Committee is asked to discuss and agree the workplan

**Background information**

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

**Resource implications**

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

**Financial implications**

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

**Appendices**

None

**Date of paper**

7<sup>th</sup> March 2008

# Information Technology Work plan 2008 – 2009

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**Glossary**

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

**Introduction**

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

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

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

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

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

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## **This document**

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

## **Resources**

### **Human resources**

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

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

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

### **Role descriptions**

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

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

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

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

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

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

### Resource allocation

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

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

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

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

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

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

### Financial resources

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

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

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## ***Information Technology Activities in 2008 - 2009***

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

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

### **Services**

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

### **Existing services**

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

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

**New Services for 2008/2009**

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

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## Development

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

### Major Projects

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

### Small Projects

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

## ***Achieving the IT Objectives in 2008 - 2009***

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

### **Information Technology Objective 1:**

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

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

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Timescale March 2009

### Information Technology Objective 2:

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

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

Timescale Quarterly

### Information Technology Objective 3:

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

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

Timescale to individual Project plan

### Information Technology Objective 4:

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

- Assign specific IT resource to lead and own the product delivery
- Plan, develop, report and implement the agreed changes to budget
- Directly support the following Small projects:
  - Network Switch upgrades  
*Review the existing architecture for the Local Area Network (LAN).  
Improve the reliability, resilience, capacity of the Network infrastructure enabling Power over Ethernet (POE) functionality*
  - Data line installation  
*Increase the capacity of the telephone system to meet peak usage*
  - User Acceptance Test application provision  
*Improve the quality of the User Acceptance Test cycles for application development cycles by employing a specialist tool for controlling,*

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*monitoring and reporting against test scripts*

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

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## ***Information Technology activities for 2009 - 2010***

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

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

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

## ***Information Technology activities for 2007 - 2008***

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

### **1. Business as usual objectives**

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

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

### **2. On boarding of New Professions**

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

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

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

**4. Professional Qualifications Directive.**

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

***Risk Management***

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

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

Please see the appendix below for details.

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## Appendix: Risks Managed by the Information Technology department

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

<b>Mitigations</b> Effective backup and Recovery procedures; Third party maintenance and support contract; Disaster recovery tests				
11.1	Loss of key HPC employees (person cover risk)	President, Chief Executive and EMT	Medium	Low
<b>Mitigations</b> Committee chairmen cover for President loss, President and EMT cover for CE loss until interim appointment made; Cross training (partial or full) and process documentation; CE Succession plan held by HR Director. Succession planning generally.				
11.6	High sick leave levels	EMT	Low	Medium
<b>Mitigations</b> Adequate staff (volume and type) including hiring temporary staff; Return to work interviews and sick leave monitoring; Regular progress reviews				
15.2	Unexpected rise in operating expenses	EMT	Medium	Low
<b>Mitigations</b> Finance & Resources Committee review of the Monthly variances to date; Budgetary control clarity around permanent and timing differences.; Regular Budget-holder reviews				
15.3	Large Capital Project Cost Over-runs	EMT	Medium	Low
<b>Mitigations</b> Finance & Resources Committee review of the monthly variances to date; Effective project specification, management and project progress reporting (financial and non financial); Detailed cost estimations eg Quantity Surveyor estimates for the 22/26 SS project				

15.12	Unauthorised removal of assets (custody issue)	Director of IT & Facilities Mger	Low	Low
<b>Mitigations</b> IT asset labelling & asset logging (issuance to employees); Fixed Asset register itemising assets. Job exit procedures (to recover HPC laptops etc); Computer insurance				
17.1	Electronic record Data Security	Director of IT and Director of HR	Medium	Low
<b>Mitigations</b> Employment contract includes Data Protection Agreement; Adequate access control procedures maintained. System audit trails; Laptop security encryption and VPN access.				
17.3	Data held by Third Parties	Director of Ops and Director of IT	Medium	Medium
<b>Mitigations</b> Data Protection/Controller agreements signed by the relevant suppliers. Use of electronic firewalls by suppliers; Use of locked Tape Archive boxes and sign out procedures; DSL access LISA via secure VPN and password security. Only sample set of data held by DSL. Print UK have adequate password control and utilise data encryption. Peladon access using remote access tool. Electral Reform Society data is password protected and encrypted.				
17.4	Data received from Third Parties	Director of Ops, Director of IT and FTP Director	Medium	Low
<b>Mitigations</b> Read only, password protected access by a restricted no of FTP employees to KN data. Transcript hearings produced in a redacted form before being posted on the HPC website; Registrant payments taken in compliance with Payment Card Industry (PCI) Security standards ie with quarterly PCI testing; Ensure third party data providers				

eg professional bodies provide the data password protected/encrypted/door to door courier/registered mail/sign in sign out as appropriate.