

Council, 25 March 2015

Information Technology Department Work Plan 2015-2016

Executive summary and recommendations

Introduction

The Information Technology Department Work Plan for the period 1 April 2015 to 31 March 2016 is attached.

Decision

The Council is invited to discuss and agree the attached document.

Background information

None

Resource implications

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

Financial implications

The financial implications of the planned work are accounted for in the Information Technology budget for 2015-2016.

Appendices

See paper.

Date of paper

13 March 2015

Information Technology Work Plan 2015 – 2016

First published in March 2015

Guy Gaskins, Director of Information Technology

Contents

1	Introduction	5
2	Equality and Diversity Scheme	6
3	Human resources	6
4	Financial resources.....	8
5	How the IT objectives where achieved in 2014 – 2015.....	8
6	The IT activities in 2015 – 2016.....	13
7	Achieving the IT objectives in 2015 – 2016	19
8	The anticipated IT activities for 2016 - 2017	23
9	Risk management.....	25
10	Glossary	26
11	Appendix A: Risks managed by the Information Technology department.....	27

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 through six strategic objectives.

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

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

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

- 1.5 As an internal service provider, the IT department operates proactively managed services to enable business processes to function.

However, a significant element of the service is reactive. This reflects the occurrence of service incidents, as well as changes to the business priorities as HCPC adapts to the changing external environment.

- 1.6 The challenge facing the IT department is to manage the conflicting demands of both reactively and proactively provided services without hindering business momentum.

This continues to be achieved as we deliver substantial changes to the IT infrastructure introducing business driven services.

- 1.7 The overall aim of the IT function is to improve business 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 2015-16.

¹ Strategic Intent Document 2012 – 2015 first published April 2012

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

2 Equality and Diversity Scheme

- 2.1 The IT department does not have any specific action points under the HCPC equality and diversity scheme but plays an important role in the delivery of action points in other business areas.
- 2.2 The IT department continues to address specific individual needs as identified by department managers and ensures that technical standards are embedded into projects to address areas of accessibility such as W3C guidelines for web development.

3 Human resources

- 3.1 The IT Department consists of ten and a half full time equivalent employees but will be expanded to eleven and a half full time equivalents in 2015-16:

Guy Gaskins	Director of Information Technology
Jason Roth	IT Infrastructure Manager
Andy Sabapathee	IT Infrastructure Engineer
Richard Watling	IT Infrastructure Engineer
Ken Yu	IT Infrastructure Engineer
<i>Vacant</i>	IT Infrastructure Support Engineer
Rick Welsby	IT Service Support Manager
Greg Legendziewicz	IT Support Analyst
James McMahon	IT Support Analyst
Elandre Potgieter	IT Support Analyst
Jonathan Linque	IT Support Analyst
Alex Loder	Administration support (half full time equivalent)

- 3.2 Director of Information Technology

Overall accountability for the IT provision at HCPC and sets the IT strategic direction to support the business strategy. The position is responsible for the security and integrity of the IT infrastructure and systems, as well as providing support to and the development of the core applications of the organisation.

The role is increasingly important in the definition and delivery of strategic business change projects.

3.3 Service Support Team

3.3.1 IT Service Support Manager

The role is responsible for the service desk function and manages the IT Service Support Analysts. Additionally, the role is responsible for maintaining our bespoke database application environment providing email and specialist application services.

3.3.2 IT Service Support Analyst

The role reports to the IT Service Support Manager and has responsibility for the identification and resolution of incidents within the IT infrastructure. The role is the first point of contact between the users and the IT department; they operate the service desk function and provide first and second level support for PC and business application services.

3.4 Infrastructure Support Team

3.4.1 IT Infrastructure Manager

The role is responsible for the network and server hardware infrastructure support and development including backup and recovery, availability, IT continuity and capacity management.

3.4.2 IT Infrastructure Engineer

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

3.4.3 IT Infrastructure Support Engineer

This role reports to the IT Infrastructure Manager. As an entry level infrastructure role it supports the administration and monitoring of the network and server hardware infrastructure.

3.4.4 IT Administration Support

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

4 Financial resources

4.1 This work plan assumes an operating budget of £1,796,000 and a capital budget of £102,000.

	2014-15 Budget (,000) (9 mth reforecast)	2015-16 Budget (,000) (to be confirmed)	% difference
Operating Expenditure (excluding depreciation)	£1,683	£1,796	7.0
Capital Expenditure	£190	£102	-47

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

- Additional secure print service including the transfer of costs for consumables from Facilities to IT;
- Increased head count for the HCPC; and
- Introduction of the new Education IT system.

4.3 The reduction in capital expenditure is mainly due to:

- A reduction in the size of capital intensive departmental projects.

5 How the IT objectives were achieved in 2014 – 2015

Progress against the objectives set for 2014 – 2015 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 Complete the replacement of data line services by a single provider enabling an increase in capacity and performance;

- This is complete.

5.1.2 Continue to identify opportunities to consolidate infrastructure hardware and software to reduce support overhead and duplicated data silos;

- Ongoing; introduction of centralised storage and higher performance servers has increased the density of servers and data.
- 5.1.3 Implement a series of improvements to the Windows 7 environment following the conclusion of the implementation of Windows 7 in 2013;
- This is complete.
- 5.1.4 Implement an upgrade to the current implementation of Sharepoint to retain compatibility with other software;
- This is partially complete. Upgrades have been performed but one application is delayed while an application bug is resolved prior to its upgrade.
- 5.1.5 Implement the replacement of third party software to benefit from existing Microsoft technology that we already own the rights to use;
- This is proceeding to project plan. The pilot project will be complete by the end of March 2015 and if successful will be extended to all infrastructure.
- 5.1.6 Support the Finance systems and process review phase 1, to review the systems and processes of the Finance department and if appropriate define new processes and identify a technology solution to support the department.
- This major project was re-prioritised.
- 5.1.7 Migrate existing Microsoft databases to a recent version to maintain support and compatibility with other software;
- This is complete.
- 5.1.8 Replace legacy servers to maintain support for hardware and compatibility with software;
- This is complete.
- 5.1.9 Support the direct debit review project to review the administration process including paperless direct debit mandate submission;
- This has been transferred into the Registration Process and System Review project.
- 5.1.10 Support the Education systems and process review project phase 2 to implement the changes in system and process identified in the phase 1 project;
- This is delivering to project schedule.

- 5.1.11 Support the Finance systems Sage and PRS upgrade project; to implement an upgrade to the Sage and purchase order system (PRS) financial systems;
- This is delivering to project schedule.
- 5.1.12 Support the In Focus Distribution project to implement a solution to improve the distribution of the In Focus electronic newsletter;
- This major project has not been initiated.
- 5.1.13 Support the HR & Partner process and systems review phase 1 project to enhance service and reduce organisational risk;
- This is complete.
- 5.1.14 Support the HR & Partner process and systems review phase 2 project to enhance service and reduce organisational risk;
- This is delivering to project schedule.
- 5.1.15 Support the NetRegulate Improvements major project to affect a number of discrete changes within the Registration system to improve function;
- This is delivering to project schedule.
- 5.1.16 Support the Online Renewal Review & Change of Payment Provider project to make changes to systems and services to support a move to a new credit card payment provider and implement small changes to improve the service;
- This is complete.
- 5.1.17 Support the project to implement text alerts to Partners relating to last minute appointments;
- This is complete.
- 5.1.18 Support the stakeholder contact management system project to implement a customer relationship management system to maintain all external stakeholder information that is not managed by transactional systems;
- This project is just initiating.

5.2 Information Technology Objective 2:

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

- 5.2.1 Implement changes to the telephony system to improve resilience and make changes to support business requirements;
- This is complete.
- 5.2.2 Implement iPads to the Executive following feedback from the successful deployment to the Council;
- This has been scheduled to start after the migration of the corporate email service.
- 5.2.3 Migrate the corporate email service from Domino/Lotus Notes to Exchange/Outlook;
- This is delivering to project schedule.
- 5.2.4 Implement a virtual desktop pilot programme. The project aim is to prove the viability of running a virtual desktop environment and to build a business case for a wider deployment in the following year;
- This has been reprioritised to take into account developments in virtual desktop vendors and new technology to manage a physical environment.
- 5.2.5 Support the NetRegulate Systems Review project to review the systems and processes of the registration department and if appropriate define new processes and identify a technology solution to support the department;
- This is delivering to project schedule.
- 5.2.6 Support the 186 Kennington Park Road project in its preparation phase for the redevelopment of 186 Kennington Park Road office building;
- This is complete for this year.
- 5.2.7 Support the delivery of functional changes to the HCPC web sites as determined by the Communications department;
- This is complete.
- 5.2.8 Support the project to enable professional indemnity to be managed within the registration system;
- This is complete.
- 5.2.9 Support the project to review the Hearing function requirement for video conferencing with the aim of creating a more flexible and mobile service;
- This has been scheduled to start after the migration of the corporate email service.

5.3 Information Technology Objective 3:

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

- 5.3.1 Conduct an annual audit of our license compliance by a third party organisation;
 - This is complete.
- 5.3.2 Conduct regular independent penetration tests of our environment to assure effective security controls including an on premise test.
 - This is complete.
- 5.3.3 Implement a platform refresh of the NetRegulate system to take advantage of key feature enhancements to improve availability;
 - This is delivering to project schedule.
- 5.3.4 Implement an improved remote access method that will improve the stability and reliability of the service.
 - This is complete.
- 5.3.5 Implement a secure printing solution within the HCPC offices using proximity cards to collect documents from printers.
 - This is complete.
- 5.3.6 Implement upgrades to a number of supporting systems that provide functions such as backup and encryption to maintain support and address known issues.
 - This is complete.
- 5.3.7 Implement upgrades of server operating systems to maintain vendor support and address known issues.
 - This is complete.
- 5.3.8 Review the capacity planning for the Infrastructure, building capacity plans for key systems ensuring availability during operating hours;
 - This is complete.

5.4 Information Technology Objective 4:

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

- 5.4.1 Continue to build the configuration management database to support effective execution of the problem and change management processes;
- This is complete.
- 5.4.2 Extend the service support team and infrastructure support team. Train the new employees and apply their experience to improve the service;
- Two employees have been recruited, the remaining employee will be recruited in the next financial year.
- 5.4.3 Realign the published service levels to better reflect the organisation need against the service catalogue; and
- This has been reprioritised and will form part of the next year work plan.
- 5.4.4 Refine the processes and develop reporting for the new service desk tool to support new ITIL processes and the service desk function.
- This is complete.

6 The IT activities in 2015 – 2016

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

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

6.1 Services

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

6.2 Service Catalogue

6.2.1 Application development.

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

6.2.2 Application support.

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

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

6.2.3 Case Management.

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

6.2.4 Customer Relationship Management system (CRM).

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

6.2.5 Data extraction support.

Limited provision of data extraction from key systems to aid complex requirements (initial support for report generation, statistical production and data extraction is within the operations directorate and the information services 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 financial purchase order system.

6.2.11 Human Resources Information.

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

6.2.12 Online Renewal Portal.

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

6.2.13 Personal computing (including printing and network storage)

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

6.2.14 Registration.

Availability, capacity and performance management of the registration system.

6.2.15 Remote access to corporate services.

Availability, capacity and performance management for remote access technologies enabling the access to corporate services such as email, calendar and personal performance tools.

6.2.16 Secure telephone credit card payment

Availability, capacity and performance management of the secure credit card payment telephone gateway 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 2015-2016 the following major and departmental projects will be supported and/or delivered by the IT department. This list is liable to change following decisions of Council in response to changes in the external environment.

Major Projects

6.3.1 Education systems build.

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

6.3.2 Fees review.

Undertaking a review of registrant fees and potentially entering into consultation with registrants. Subsequently communicating any changes to registrants.

6.3.3 Fitness to Practice case management system changes.

To implement a series of small functional improvements to the case management system as a package of changes.

6.3.4 HR & Partner systems build.

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

6.3.5 Migration of email service.

Migration of the corporate mail service from Domino/Lotus Notes to Exchange/Outlook. This will enable the tighter integration of other technologies to the email infrastructure.

6.3.6 NetRegulate system improvement.

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

6.3.7 Opening the public register for Public Health Specialists.

To open a part of the register for Public Health Specialists.

6.3.8 PCI / DSS.

Review of our obligations under the PCI/DSS (payment processing) legislation plus implementation of any changes that we need to make to technology or process.

6.3.9 Professional Qualifications Directive implementation project.

To determine how the HCPC will remain compliant with the changing European Directive.

6.3.10 Registrations process and systems review.

To review the systems and processes of the Registration department and if appropriate define new processes and identify a technology solution to

support the department.

6.3.11 Registrations system build project.

To implement any of the findings of the Registration process and systems review project subject to an adequate business case.

6.3.12 Sage and PRS upgrade.

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

6.3.13 Stakeholder contact management system.

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

6.3.14 Telephone Credit Card Automation and hosting change.

To change our telephone credit card processing system to remain within technology support.

Departmental Projects

6.3.15 Annual NetRegulate platform refresh.

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

6.3.16 Displacement of technologies.

This project will extend the pilot project carried out in 2014-15 and apply the changes to whole desktop infrastructure. The project will remove technologies from the HCPC infrastructure and replace them with Microsoft technology that the HCPC already own the rights to implement.

6.3.17 Document a desktop infrastructure strategy.

This activity will document a medium and long term horizon view for desktop infrastructure. This will be used to plan and inform future change activities.

6.3.18 Document an infrastructure strategy.

This activity will document a medium and long term horizon view for the key infrastructure functions. This will be used to plan and inform future change activities.

6.3.19 Document a mobile telephony strategy.

This activity will document a medium and long term horizon view for the key mobile telephony functions. This will be used to plan and inform future change activities.

6.3.20 Extended use of iPads.

This project builds upon the successful implementation of iPads for Council members. The aim is to extend the use of iPads to the Executive following feedback from Council.

- 6.3.21 Extend the functionality of Office365.
This project will review the effectiveness of the migration of mail services to Office365 and deliver a number of changes to extend and improve the use of the Office365 platform.
- 6.3.22 Intranet migration.
Support the Communication department in the migration of the HCPC intranet to the Office365 platform.
- 6.3.23 Migrate key IT services to a virtual environment.
This project will follow the project to migrate the HCPC mail service to Office365. It will virtualise the legacy Domino environment as well as the network file storage.
- 6.3.24 Migrate Microsoft databases to an encrypted format.
This project will migrate existing Microsoft databases to an encrypted format where appropriate.
- 6.3.25 Perform independent security testing.
This activity will manage the security testing of the HCPC infrastructure by an independent body. The testing will be run several times throughout the year and will mitigate the risk following changes to the environment or be run as part of standards compliance.
- 6.3.26 Replace legacy servers.
This project will replace a number of legacy servers to maintain support for hardware and compatibility with software.
- 6.3.27 Support a vendor software audit of environment.
This activity will support the external audit of the environment for software licence compliance and any subsequent actions.
- 6.3.28 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.
- 6.3.29 Upgrade the Desktop environment.
This project add additional monitors and hands free telephone headsets to improve the productive desktop environment.
- 6.3.30 Upgrade enterprise document and records system (Sharepoint).
This project will upgrade the current FTP implementation of Sharepoint to the most recent version to retain compatibility with other software.
- 6.3.31 Upgrade switch infrastructure.
This project will resolve an existing authentication issue by either configuration of the switches or if this is not possible by their replacement.

6.3.32 Video conferencing review.

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

7 Achieving the IT objectives in 2015 – 2016

The activities of the IT department are performed to achieve the IT strategic objectives in the coming year. The objectives address specific strategic issues that are categorised under the following strategic objectives:

7.1 Information Technology Objective 1:

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

7.1.1 Education systems build.

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

7.1.2 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.

7.1.3 HR & Partner systems build.

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

7.1.4 NetRegulate system improvement.

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

7.1.5 Registrations process and 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.

7.1.6 Registrations system build project.

To implement any of the findings of the Registration process and systems review project subject to an adequate business case.

7.1.7 Displacement of technologies.

This project will extend the pilot project carried out in 2014-15 and apply the changes to whole desktop infrastructure. The project will remove technologies from the HCPC infrastructure and replace them with Microsoft technology that the HCPC already own the rights to implement.

- 7.1.8 Document a desktop infrastructure strategy.
This activity will document a medium and long term horizon view for desktop infrastructure. This will be used to plan and inform future change activities.
- 7.1.9 Document an infrastructure strategy.
This activity will document a medium and long term horizon view for the key infrastructure functions. This will be used to plan and inform future change activities.
- 7.1.10 Extended use of iPads.
This project builds upon the successful implementation of iPads for Council members. The aim is to extend the use of iPads to the Executive following feedback from Council.
- 7.1.11 Migrate key IT services to a virtual environment.
This project will follow the project to migrate the HCPC mail service to Office365. It will virtualise the legacy Domino environment as well as the network file storage.
- 7.1.12 Replace legacy servers.
This project will replace a number of legacy servers to maintain support for hardware and compatibility with software.

7.2 Information Technology Objective 2:

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

- 7.2.1 Fees review.
Undertaking a review of registrant fees and potentially entering into consultation with registrants. Subsequently communicating any changes to registrants.
- 7.2.2 Migration of email service.
Migration of the corporate mail service from Domino/Lotus Notes to Exchange/Outlook. This will enable the tighter integration of other technologies to the email infrastructure.
- 7.2.3 Opening the public register for Public Health Specialists.
To open a part of the register for Public Health Specialists.
- 7.2.4 Professional Qualifications Directive implementation project.
To determine how the HCPC will remain compliant with the changing European Directive.
- 7.2.5 Stakeholder contact management system.
Implementation of customer relationship management system to maintain all

external stakeholder information that is not managed by transactional systems.

7.2.6 Document a mobile telephony strategy.

This activity will document a medium and long term horizon view for the key mobile telephony functions. This will be used to plan and inform future change activities.

7.2.7 Extend the functionality of Office365.

This project will review the effectiveness of the migration of mail services to Office365 and deliver a number of changes to extend and improve the use of the Office365 platform.

7.2.8 Intranet migration.

Support the Communication department in the migration of the HCPC intranet to the Office365 platform.

7.2.9 Migrate Microsoft databases to an encrypted format.

This project will migrate existing Microsoft databases to an encrypted format where appropriate.

7.2.10 Perform independent security testing.

This activity will manage the security testing of the HCPC infrastructure by an independent body. The testing will be run several times throughout the year and will mitigate the risk following changes to the environment or be run as part of standards compliance.

7.2.11 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.

7.2.12 Upgrade the Desktop environment.

This project add additional monitors and hands free telephone headsets to improve the productive desktop environment.

7.2.13 Video conferencing review.

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

Information Technology Objective 3:

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

- 7.2.14 Support a vendor software audit of environment.
This activity will support the external audit of the environment for software licence compliance and any subsequent actions.
- 7.2.15 PCI / DSS.
Review of our obligations under the PCI/DSS (payment processing) legislation plus implementation of any changes that we need to make to technology or process.
- 7.2.16 Sage and PRS upgrade.
To implement an upgrade to the Sage and purchase order system (PRS) financial systems.
- 7.2.17 Upgrade NetRegulate platform.
Implement a platform refresh of the NetRegulate system to take advantage of key feature enhancements to improve availability;
- 7.2.18 Telephone Credit Card Automation and hosting change.
To change our telephone credit card processing system to remain within technology support.
- 7.2.19 Annual NetRegulate platform refresh.
To upgrade the base platforms to apply a number of key feature enhancements to improve availability.
- 7.2.20 Upgrade enterprise document and records system (Sharepoint).
This project will upgrade the current FTP implementation of Sharepoint to the most recent version to retain compatibility with other software.
- 7.2.21 Upgrade switch infrastructure.
This project will resolve an existing authentication issue by either configuration of the switches or if this is not possible by their replacement.
- 7.2.22 Independent security testing.
Conduct regular independent penetration tests of our environment to assure effective security controls including an on premise test.
- 7.2.23 Upgrade supporting systems.
Implement upgrades to a number of supporting systems that provide functions such as backup and encryption to maintain support and address known issues.
- 7.2.24 Upgrade operating systems.
Implement upgrades of server operating systems to maintain vendor support and address known issues.

7.3 Information Technology Objective 4:

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

- 7.3.1 Review and document processes and work instructions.
Continue to build the configuration management database to support effective execution of the problem and change management processes;
- 7.3.2 Expand the IT team.
Extend the infrastructure support team. Train the new employee and apply their experience to improve the service;
- 7.3.3 IT survey.
Complete an IT customer satisfaction survey to identify areas of strength and areas for development.
- 7.3.4 Review and republish service levels.
Realign the published service levels to better reflect the organisation need against the service catalogue; and
- 7.3.5 Review and develop the service desk tool.
Refine the processes and develop reporting for the new service desk tool to support new ITIL processes and the service desk function.

8 The anticipated IT activities for 2016 - 2017

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

- 8.1.1 Continuing to improve our processes and procedures;
- 8.1.2 Determine and execute a desktop strategy based upon the desktop strategy work completed in 2015-16;
- 8.1.3 Expand the use of the Office 365 cloud service and execute the findings of the Infrastructure strategy work completed in 2015-16;
- 8.1.4 Execute the findings of the mobile telephony strategy work completed in 2015-16;
- 8.1.5 We will support the major project delivery which is expected to include:
 - Implementation of the findings of the Registration process and systems review project subject to an adequate business case;

- Supporting any 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;
- Review and implement a redevelopment of the HCPC web services including the corporate web site.

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

9 Risk management

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

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

Please see the appendix A for details.

10 Glossary

BAU.....	Business As Usual
Blackberry.....	Remote mobile diary and calendar management technology
BPI.....	Business Process Improvement
CAPEX.....	Capital expenditure
CRM.....	Customer Relationship Management
Customer.....	Individuals who purchase or commissions an IT service
DSL.....	Definitive Software Library
FTE.....	Full Time Equivalent
FTP.....	Fitness to Practice
HCPCC.....	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.
IT.....	Information Technology
ITIL.....	Information Technology Infrastructure Library.
LAN.....	Local Area Network
Lotus Notes.....	Software package that provides application and mail functionality
MS-Word.....	Microsoft Word
OPEX.....	Operating expenditure
PC.....	Personal Computer
PCI DSS.....	Payment Card Industry Data Security Standard
Service Catalogue.....	A list of all end-to-end IT services available to the User
Service Delivery.....	ITIL category for service management encompassing: service level management, IT continuity management, financial management, capacity management and availability management.
Service Support.....	ITIL category for service management encompassing: service desk, incident management, problem management, configuration management, change management and release management.
SMS.....	Short Message Service
User.....	Individuals who use an IT service
W3C.....	World Wide Web Consortium

11 Appendix A: Risks managed by the Information Technology department

Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the on-going risk)	Impact before mitigations Jan 2014	Likelihood before mitigations Jan 2014	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2014	RISK score after Mitigation Sept 2013
Operations	2.10	Telephone system failure causing protracted service outage	Director of IT	4	3	12	Support and maintenance contract for hardware and software of the ACD and PABX	Backup of the configuration for both the ACD and PABX	Diverse routing for the physical telephone lines from the two exchanges with different media types	Low	Low
IT	5.1	Software Virus damage	Director of IT	4	5	20	Anti-virus software deployed at several key points. Perimeter controls enabled.	Adherence to IT policy, procedures and training	Regular externally run security tests	Low	Low
		Links to 2.3, 10.2									
	5.2	Technology obsolescence, (Hardware or Software)	Director of IT	2	2	4	Delivery of the IT strategy including the refresh of technology	Employ small core of mainstream technology with recognised support and maintenance agreements	Accurately record technology assets.	Low	Low
		Links to 2.6, 10.2									
	5.3	Fraud committed through IT services	Director of IT	3	3	9	Appropriate and proportionate access restrictions to business data. System audit trails.	Regular, enforced strong password changes.	Regular externally run security tests	Low	Low
	5.4	Failure of IT Continuity Provision	Director of IT	4	3	12	Annual IT continuity tests	IT continuity plan is reviewed when a service changes or a new service is added	Appropriate and proportionate technical solutions are employed. IT technical staff	Low	Low

									appropriately trained.		
	5.5	Malicious damage from unauthorised access	Director of IT	4	5	20	Security is designed into the IT architecture, using external expert consultancy where necessary.	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
Project Management	8.2	Failure to successfully replace the Lotus Notes system with Microsoft Outlook	Director of IT & Project Portfolio Manager	5	4	20	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Ensure robust testing including load	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
FTP	13.10	Protracted service outage following a Case	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

		Management System failure									
Finance	15.1 2	Unauthorised removal of assets (custody issue)	Facilities Manager & IT Director	2	2	4	Building security including electronic access control and recording and CCTV. IT asset labeling & asset logging (issuance to employees)	Fixed Asset register itemising assets. Job exit procedures (to recover HCPC laptops, blackberries, mobile phones etc). Regular audits. Whistleblowing policy.	Computer asset insurance.	Low	Low
Information Security	17.1	Loss of information from HCPC's electronic databases due to inappropriate removal by an employee	EMT, Director of IT and Director of Operations	5	3	15	Access is restricted to only the data that is necessary for the performance of the services. Employment contract includes Data Protection and Confidentiality 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	Unintended release of electronic or paper based information	EMT, Director of IT and Director of Operations	5	3	15	Access is restricted to only the data that is necessary for the performance of the services.	Effective system processes including secure data transfer and remote access granted only on application and through secure methods. Training where appropriate Employees & (Partners)	Data Processor agreements signed by the relevant suppliers.	Low	Low

	17.6	Loss of Registrant personal data by the registration system (NetRegulate) application support provider in the performance of their support services (specific risk).	Director of IT and Director of Operations	5	3	15	Access to and export of Registrant data is restricted to only that which is necessary for the performance of the services.	Effective system processes including secure data transfer and remote access granted only on application and through secure methods.	Data processor side letter specifying obligations and granting a limited indemnity.	Low	Low
	17.8	Loss of personal data by an HCPC Contractor or Partner providing application support in the performance of their support services (specific risk).	Director of IT and Director of Operations, Director of Education, Director of Fitness to Practice	5	3	15	Access to and export of personal 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.		Low	