Council Meeting 24 September 2015

Registration Transformation and Improvement Project

Executive summary and recommendations

Introduction

Over the last 12 months the Executive has been working to improve the processes related to the functions of the Registration department. Revised processes have been mapped, and a requirements catalogue collated with a view to replace the core Registration system.

The attached paper is the Executive's business case for the next stage, the project to operationalise these process improvements and build the new system.

Decision

The Council is requested to discuss the attached Business Case.

Background information

The work to develop and map the improved processes started in October 2014 and completed in June 2015.

Resource implications

See section 7.3 of the attached document.

Financial implications

Values in the business case for costs and benefits have been removed because they will pertain to expenditure for the purchase of goods or services in a contract.

Appendices

MP85 Registration Transformation and Improvement Project Full Business Case

Date of paper

28 August 2015

MP85 Registrations Transformation and Improvement Project

Full Business Case

Contents

1. Introduction

1.1. Overview of the Full Business Case Development Process

1.1.1. The table below summarises the progress of the two Registration projects leading up to the production of this business case for implementing new business processes underpinned by building a new registration system.

1.1.2. The purpose of the business case is to test the proposal, so as to ensure as far as possible that we buy the right product and we obtain value for money.

1.1.3. Some values in the business case for costs and benefits have been removed because they will pertain to expenditure for the purchase of goods or services in a contract. In particular, the estimated costs of the main contractor to build the new system have not been market tested because we have not yet reached the procurement stage. A further gateway is built into the process after tenders have been received but before signing contracts, to check that the business case still holds using the tendered price.

When	Registration Process and Systems Review Project	Registration Transformation and Improvement Project
November 2013	Project Prioritisation	
January 2014	Project Budget Recommendation EMT	
March 2014	Project Budget Approval Council	
March 2014	Project Start Up	
July 2014	Project Initiation	
August/September 2014	Procurement	
October 2014	Commence build	
November 2014	Build	Project Prioritisation
January 2015	Build	Project Budget Recommendation EMT
March 2015	Build	Project Budget Approval Council
June 2015	Business Analysis Summary	Project Start Up
August 2015	Project Closure	Project Initiation
September 2015		Full Business Case (this document)
October 2015		Procurement
November 2015		Gateway: EMT re-approval of Business Case updated with tendered prices
November 2015		Start of build

2. Executive Summary

2.1. The current registration system has been serving HCPC well since July 2003. However, since 2003 there have been a range of changes both within the Registration Department and in the external environment which mean that corresponding significant changes to the Registration system are now required.

2.2. The Registration Process and Systems Review Project, initiated in July 2014, ran for twelve months conducting research and analysing requirements, and delivered the Business Analysis Summary to EMT in June 2015. The Registration Process and Systems Review Project recommended that a business case be built to implement the changes as a design and build project. This project is referred to as the Registration Transformation and Improvement Project and from this point on in the document, "the Project." This document is the Project's business case, adapted and summarised for Council.

2.3. The business case is laid out under five headings:

2.3.1. **Strategic case**. Is there a compelling case for change, does it fit with our strategy, how does it affect our risks, what are the objectives and expected benefits?

2.3.2. **Economic case**. Is it value for money? What are the success factors? What are the options and which is the preferred option? How sensitive is the VFM to plausible changes in the assumptions?

2.3.3. **Commercial case**. Is the product we want available on the market, and how will we buy it?

2.3.4. **Financial case**. Can we afford it? This is assessed by rerunning the five year plan including the expected cash flows of the Project.

2.3.5. **Management case**. Have we got the resources to deliver, how are we going to control the project?

2.4. The preferred option identified through this analysis is to go out to external suppliers to build the new system, in Microsoft Dynamics, over three phases. The estimated gross cost is £4m spread over five years, and the expected quantified financial benefits are £X a year starting from August 2018. The estimated net present cost of the Project is £X. Phase 1 is the implementation of online CPD, also serving as a proof of concept; phase 2 is the replacement of the core register, including rule changes to enable pro-rata fee charging and payment by monthly direct debit; and phase 3 is the implementation of online applications. The Project is expected to complete by November 2019 (excluding contingency).

2.5. To provide an independent check on the Executive's analysis, we commissioned Grant Thornton to review the business case. Their report, which is attached at Appendix 13 is broadly supportive.

2.6. The Executive is satisfied the Project meets the five cases and will provide good value for HCPC.

2.7. The next stage is to go out to tender to appoint a supplier for Phase 1. As noted above, there will be a further gateway review after tenders have been received but before signing contracts, to check that the business case still holds using the tendered price.

3. The Strategic Case

3.1. The case for change

3.1.1. The current registration system has been serving HCPC well since July 2003. It is a bespoke[1] registration system. The decision to build a bespoke registration system was made because not all requirements were able to be gathered upfront in the short delivery window allowed to build it and there were few flexible membership systems on the market. However, since 2003 there have been a range of changes both within the Registration Department and in the external environment (as detailed below) which mean that corresponding significant changes to the Registration system are now required.

3.1.2. **Registration is now more than just registering, renewing and removing applicants and registrants.** The existing Registration system was launched in 2003, it was the first major system to be built at HCPC. Originally, it was developed to support what was then the core registration functions of registering, renewing and removing applicants and registrants from the Register. It did not support functions such as Continuing Professional Development (CPD), Returners To Practise (RTP) or enhanced International Application Assessment verification, for example.

3.1.3. Over time, Registration's regulatory processes have changed:

- To include additional statutory requirements around CPD and RTP,
- New ways of working such as registrants updating their own details through the online renewals portal,
- Automation of processes through Intelligent Character Recognition scanning of renewal and re-admission forms
- Higher requirements have been put in place to verify International Applications.
- There has also been greater focus on tracking individual employee performance and the quality audit of individual registration decisions.

[1] Bespoke software is custom or tailor-made software. The value of bespoke software over off-the-shelf software is that it can be designed specifically for unique or specific requirements.

3.1.4. **Many additional processes have been built outside of the current registrations system due to time, complexity and cost**. It is expensive and time-consuming to design and develop additional features in the current registration system. As a result, many processes have been built outside of the current registration system and into other information systems. For example the EEA Temporary and Occasional Register is in a Lotus Notes database, the International Application assessor contact management system, individual employee performance tracking and quality assurance checks are logged in Excel spread sheets.

3.1.5. **Some processes embedded in the current registration system no longer reflect working practices and need to be changed.** When the current registration system was developed, it also supported what would now be classified as non-registration features such as limited FTP functionality, partial Partner management and detailed transaction-level financial information. This was because some of the non-registration systems, processes and procedures had not yet been developed. As a result, non-registration features were developed within the system with a registration-centric view. For example, the financial component of the system was developed to allow Registration Advisors to quickly address transaction-level financial queries. This registration-centric view of transactions is different to the requirements of the current Finance Department's Transactions team.

3.1.6. **Customer service expectations have changed substantially in the last ten years and the system needs to recognise and integrate this.** Registrant's expectations of how they transact "business" are changing and HCPC has not kept up with this change. With the rise of portable communication devices such as smart phones and tablets, and greater internet connectivity, registrants are developing a greater expectation to be able to deal with the HCPC online, in a similar way to their bank, utility company, GP surgery or local council. Most local council transactions can now be done over the phone, via post or online. All three channels are available for the resident. Similarly, as existing and new communication channels are becoming part of normal consumer behaviour, there is an expectation that the HCPC should provide these similar services. At the moment, registrants can renew and change their contact details online but there is no option to apply to the register electronically. Emailing has been a common tool to provide the consumer with confirmation of bookings, delivery times, payments or appointments. SMS texting is now commonly used as a reminder tool by schools, GP surgeries and opticians. When a registrant renews their registration they receive an automated email but there is currently a semi-automated way to email and no current functionality to text all registrants who have yet to renew.

3.1.7. It was time to consider:

- Whether and how the current system or a new system could better reflect and support current processes, and ways of working.
- Whether and how the current system or a new system could be more flexible, adaptable and configurable to allow for changes in processes and working practises to be implemented, quickly, cheaply and efficiently.
- Whether and how those processes and systems residing outside the current registration system should be incorporated into one core system.
- How the Registration Department will keep up with the times and engage with registrants via new service delivery channels such as email and SMS, and whether the current registration system will still be flexible enough to keep up HCPC's evolving requirements.
- Whether a core registration system should be better integrated with the existing website, Finance, Partners, FTP and other departments' processes

3.1.8. The full programme of work was to be conducted as two separate but related projects:

- Registration Process and System Review: This project was established to conduct research and development, analyse requirements and, if a case is made to revise processes and build a new system, create a business case for the second project to design and build a new system, including delivery phases and methods.
- Design and build (now referred to as the Registration Transformation and Improvement Project, and from this point on in the document, "the Project"): If the case is made that processes do need to be revised and systems need to be replaced then a new project will revise processes and build the new system.

3.1.9. The Registration Process and Systems Review Project, initiated in July 2014, ran for twelve months delivering the Business Analysis Summary to EMT in June 2015. During the course of the project, subject matter experts from within the Registration and Finance departments worked with a Business Analyst to map and improve the Registration processes. Each process was mapped, and associated functional and non-functional requirements were documented.

3.1.10. The Registration Process and Systems Review Project, in light of the changes, requirements, reports and processes noted above, recommended that a Business Case be built to implement the changes. This document is that Business Case, adapted and summarised for Council.

3.2. How the Project supports HCPC existing strategy and risk management

3.2.1. Changing the way we provide services to applicant and registrants will provide better support to the strategic intent, the Registration

department's work plan objectives, the HCPC Communication Strategy, the HCPC's IT Strategy as well as mitigating key Departmental risks.

3.2.2. The Registration Transformation and Improvement Project will support several points within the first four objectives within the HCPC Strategic Intent 2012 – 2015[2], in particular Objective 2, to maintain, review and develop efficient business processes throughout the organisation. Detail of how the Project fits with the Strategic Intent is shown in Appendix 1.

3.2.3. The Registration Transformation and Improvement Project will also mitigate against several risks listed within the Corporate Risk Register, in particular:

- Strategic Risk 1.2 Unexpected change in UK legislation: the Project will mitigate this risk by ensuring that Registrations processes and systems are flexible enough to accommodate changes to UK legislation
- Information Security Risk 17.2 HCPC Document & Paper record Data Security: the Project will mitigate this risk by eliminating paper from Registrations as far as possible.

3.2.4. A full list of the corporate risks that we expect to be mitigated by successful delivery of the Project is at Appendix 2.

3.3. Objectives

3.3.1. The Project aims to achieve:

3.3.2. Improved customer experience, and new ways of communicating

- providing the opportunity for registrants to engage with HCPC in a range of ways, including new customer service channels such as SMS.
- empowering applicants to enter their own data using online self-services and strongly encouraging all applicants and registrants down the digital-by-default route. This will also eradicate the vast majority of the physical paper that the Registrations team deals with.

3.3.3. Enhancement of Registration Advisor jobs, and improved efficiency

- removing manual tasks around processing paper, providing more opportunity to scrutinise the Registration information received.
- increasing pro-active Registration-related communication with applicants and registrants, using technology-based automation therefore without significantly increasing the workload of Registration employees.
- creating clear and easily accessed work queues which utilise business rules, and giving clear lines of issue escalation.

[2] The Strategic Intent will be updated by Council in October 2015. We anticipate that the new Strategic Intent will include a similar objective relating to efficient business processes, and that the Project will continue to support HCPC's strategy after 2015.

3.3.4. Improved quality, information security and efficiency

- implementing all new processes with a focus on ensuring that all data continues to be held and accessed in a secure way. This incorporates both technology and working practices.
- a new Registrations System which is easy and cost effective to change. We want to build a solution where we can quickly competitively tender for suppliers to make changes to ensure value for money.
- improving quality and efficiency by consolidating all data into one source; a proportion of this data is currently held independently to the legacy registration system.

3.3.5. The new system will be digital by default. This will mean less paper, fewer spreadsheets, and therefore fewer errors.

3.4. Existing Arrangements and Business Needs

3.4.1. Our registration system, is 12 years old, serving HCPC since July 2003 having been custom built for our needs. Being custom built, any changes require the rewriting of code. Many processes take place outside of the current Registration system – some on a series of spreadsheets, and some in other applications such as Lotus Notes.

- **Registration** process – whereby graduates of pre-approved UK courses apply to join the register.
- **Renewal** process – whereby existing registrants renew their registration every two years, re-declaring that they are fit to practice.
- **Readmission** process – whereby registrants who have dropped off the register for any reason (including non-payment, for example), can re-register.
- **International** process – whereby people can apply from outside of the EU; a more rigorous approval process is undertaken.
- **EEA** process – whereby people can apply from within the EU; a more rigorous approval process is undertaken.
- **Temporary** registrants process – whereby people can apply from within the EU to practice in the UK for a limited period of time, and not using our protected title.
- **Continual** Professional Development process – an audit of 2.5% registrants during the renewal process to ensure that professional development is proven.
- **Finance** processes – all registrants must pay fees, but the way in which these are collected are varied.
- **Quality and training** processes – ensuring that the team administering the register are performing, and if not ensuring the training is in place to bring them up to speed.

3.4.2. These processes are for the most part paper-based. There is an online renewal process which is used by around 85% of our registrants. This is

the only process during which we communicate with registrants via email, in all others we post letters. There is a business case to expand our electronic communications – via email, and also via SMS and social media.

3.4.3. These processes are generally administered on our current registration system, they are also managed using a series of spreadsheets. Some are management reports, but a number of them are live task trackers.

3.5. Potential Scope

3.5.1. In summary, the scope of the Project is to implement all processes mapped as part of the Registration Process and Systems Review Project, in a new IT system, in accordance with the functional and non-functional requirements gathered.

3.5.2. Detailed scope is set out in Appendix 3.

3.6. Benefits

3.6.1. The main expected benefits of the Project are summarised below. More detail is at Appendix 4.

3.6.2. Cash-releasing financial benefits to HCPC

- The new systems and processes, together with the necessary changes to the Rules, will enable our current spending on paper based communication with Registrants to be substantially reduced. We currently spend over £600k a year on Registration department printing and postage, and expect to save about £480k annually.
- By improving direct debit processes, we expect to increase the uptake of direct debit and so reduce credit card charges, saving around £X annually.

3.6.3. Non cash releasing benefits to HCPC

- The new system will reduce risk, mainly the risk of dependence on a single supplier for the current bespoke system.
- The Project is expected to deliver a significant change in Registration Advisor roles, releasing around 10,000 working hours per year from data entry tasks to more value adding work.
- The system will enforce business rules, meaning fewer errors will occur therefore reducing the number of near misses due to human error within Registration by about 50%.

3.6.4. Benefits to Registrants

- The Project will deliver significant benefits to Registrants, including the ability to carry out more transactions with HCPC electronically,

pro-rata charging of fees for part years, and the option to pay by monthly direct debit.

3.7. Risks

3.7.1. See Appendix 5 Registrations and Transformation Project Risk Register, and Appendix 6 for the Project Corporate Risk Register.

3.8. Constraints and Dependencies

- The procured solution must align to the HCPC Information Technology Strategy – which prescribes that Microsoft products are our preferred solution.
- The structure of the Project needs to accommodate annual approval of budgets and potential changes to business priorities.
- The solution needs to be proportionate in cost to the benefits it is bringing, and the financial constraints of a non-commercial organisation.
- The system will need to accommodate any future legislative changes from the UK and European parliaments, including the European Professional Qualifications Directive.
- Any consultation undertaken must be enacted within the consultation timelines.
- There are several existing business applications already in use around HCPC, including Microsoft Dynamics CRM in the Education department, and Microsoft SharePoint in both Education and FTP. Therefore the new solution will be implemented on the same instances as other departmental systems.
- It is assumed that departments will provide the appropriate level and type of resource/subject matter expert, in line with the Project plan.
- It is assumed that a Government Framework Agreement will be used to undertake the tendering process.
- It is assumed that the Rules consultation will be successful.
- It is assumed that funding will be available from 2015 to 2020.

4. The Economic Case

4.1 Critical Success Factors[3]

4.1.1. Communication with applicants and registrants by post will reduce by 80%, saving about £480k per annum on paper and postage within three years.

[3] Critical Success Factors are the standards by which the project will be judged at the end to decide whether or not it has been successful.

4.1.2. The UK Applications process will redeploy about 4,800 working hours per year, currently spent on manual processing tasks, onto quality assurance and greater scrutiny activities, within three years.

4.1.3. The International/EEA Applications process will redeploy about 4,800 working hours per year, currently spent on manual processing tasks, onto quality assurance and greater scrutiny activities, within three years.

4.1.4. Registration Advisors' customer service focus will move away from phones, so about 4,800 working hours per year will be redeployed onto answering emails, within three years.

4.1.5. There will be a 40% reduction in phone calls received within Registration; instead of receiving approximately 150,000 calls per year, Registration will receive around 90,000 calls per year, within three years.

4.1.6. There will be a 30% reduction in post received from registrants, so instead of an average of 90 letters per day Registration will receive around 63 letters per day, within three years.

4.1.7. The number of returned applications due to incomplete or incorrect data will reduce from around 3,000 per year to about 300 per year, within two years.

4.1.8. The number of Registration near misses as a result of human error will reduce by 50%: from ten over three years down to five over three years.

4.1.9. The time delay between work being undertaken and that work being logged as part of operational quality assurance will be reduced from 48 hours to zero, within one year.

4.2. Options

4.2.1. The project team considered 6 options for delivery of the Project objectives, summarised below.

4.2.2. Option 1 – Reference Case (Take No Action)

4.2.2.1. If no action was taken, and we continued indefinitely with the present Registration system and associated processes, there would be ramifications both operationally and reputationally.

4.2.2.2. The objectives and benefits of the Project would not be achieved.

4.2.2.3. The Registrations System Build Project has been brought to the attention of the Education and Training Committee, Council and the Department of Health, so not running it would raise questions both internally and externally.

4.2.3. Option 2 – Proposed Option, with online CPD management as first phase Proof of Concept

4.2.3.1. The proposed option is to go out to tender for the design and build of a new Registrations System. HCPC will utilise the output from the Registrations Process and Systems Review Project in order to appoint a supplier to build a system which supports the mapped to-be business processes.

4.2.3.2. The Registrations Process and Systems Review Project recommended that the new system is implemented using Microsoft Dynamics CRM. This technology has been successfully implemented by regulators such as the General Dental Council, the Scottish Social Services Council, and the Care Council for Wales. Furthermore it is being implemented by the General Optical Council and the General Pharmaceutical Council. This technology is therefore well established within the field of health regulation, and HCPC can be confident that it can be used to meet the requirements collated during the Registrations Process and Systems Review Project.

4.2.3.3. Microsoft Dynamics is a Commercial Off The Shelf (COTS) platform, which will ensure that we are not restricted to a single supplier in the future. This will also ensure that HCPC benefits from the Research and Development of a solution used by a wide range of other customers.

4.2.3.4. Similar to other projects, it is proposed that the project will second subject matter experts from different HCPC departments to work closely with designers and developers. We will use various departmental users of the current system to test the new one. It is anticipated that we will utilise internal training resources, with support from our appointed supplier, in order to plan and implement training on the new solution.

4.2.3.5. It is proposed to utilise a hybrid development approach using both agile sprint cycles but within a traditional waterfall project structure. It is proposed that the project will phase the deployment so that we see some benefits sooner than if we released all functionality in a single release. An approach of prioritising configuration over customisation will be taken, to ensure that the solution is supportable during future upgrades (which any COTS platform will be subject to).

4.2.3.6. Modules of the solution include, but are not restricted to:

- The Register
- Online applications
- Online renewals

- Online CPD management
- CPD processing
- Application processing
- Online access for Assessors to process their work
- Internal Quality Assurance
- Financial transaction processing

4.2.3.7. The items above are based on the to-be processes and requirements captured during the Registrations Process and Systems Review Project. This project also captured various changes to the HCPC's legislative Rules which will be required in order to implement the to-be processes (for example, to enable electronic communication to be used instead of paper, and to enable monthly direct debits). Changing the Rules will require Council approval, followed by a period of consultation, and engagement with the Department of Health. It is currently anticipated that this process will run until April 2016.

4.2.3.8. The delivery of the modules will be phased, and gateway reviews will be undertaken between each phase to ensure that the project is on track to deliver the expected benefits. Each phase will be procured separately, in order to reduce the risks of overcommitting funds or committing to an unsatisfactory supplier.

4.2.3.9. In Option 2, the first phase is online CPD management, which acts as a proof of concept. The Microsoft Dynamics CRM technology is tested in a relatively discrete function, which does not involve financial transactions and therefore does not require complex interfaces with the existing Registration system. The second phase is the building of the core Register. At the end of phase two, the current Registration system would be discontinued and (subject to the necessary Rules changes) Registrants would be able to move to monthly direct debit. Phase three delivers online application functionality.

4.2.3.10. See Appendix 7 for the detailed estimated cost breakdown for this option, and Appendix 8 for the draft project plan.

4.2.4. Option 3 – No proof of concept

4.2.4.1. Option 3 is the same as Option 2, except that the building of the core Register is undertaken as the first phase. The advantage of this approach relative to Option 2 is that it delivers the cash-releasing benefits of the Project sooner. There a many disadvantages. This option does not allow for a proof of concept on a relatively discrete function (as the CPD function is) because there is no neat way of separating out a distinct part of the core Register functionality to test the concept.

4.2.4.2. Attempting to separate out a piece of core Register functionality to act as a proof of concept would require modifying financial transactions and developing complex interfaces with the existing Registration system.

4.2.4.3. The building of the core Register is too large a commitment of money and resources to act as a proof of concept. If we have chosen the wrong supplier, or the wrong software, we may have committed a large amount of time and money before we find out.

4.2.4.4. This is not recommended because it would pose a substantially high risk.

4.2.5. Option 4 – develop a new Registrations system in-house

4.2.5.1. Now that the revised processes have been mapped and the requirements have been gathered, HCPC has the option of creating a software development team in-house to build a new Registrations system.

4.2.5.2. The HCPC does not have a development team and would need to create this new competency. This would not only involve the recruitment of a new development team including management structure but would require the creation of an effective set of procedures, processes and working practices as well as specific development infrastructure.

4.2.5.3. The team would consist of at least two senior and two junior developers, and a development manager, augmented by day contractors during peak periods or to gain specific expertise. The need for the team would only exist for the duration of the Project, so the team would need to be hired as either fixed term contract employees or agency contractors, but not permanent employees.

4.2.5.4. Agency contractors are ordinarily more expensive than employees, but in this case, the saving that may be achieved by opting for a team of fixed term contract employees is likely to be limited. Developers with the right skills would not find the Project or the organisation inherently attractive from a professional point of view, so a premium would have to be paid to persuade developers to leave permanent employment to take up a fixed term contract with HCPC.

4.2.5.5. With a team of fixed term contract employees, the lead time required to recruit and induct the team would be three to six months. There would be significant risks involved in managing a team of fixed term employees. Performance issues of the team would be addressed through standard human resources processes which would increase the risk of exceeding time and resource estimates.

With a team of agency contactors, the recruitment lead time would be shorter, and the risk of managing the team would be slightly lower, as it would be easier and quicker to replace contractors who leave or underperform.

4.2.5.6. Therefore Option 4 is built on the assumption that the in house team is made up of agency contractors.

4.2.5.7. Non-performance of an external service provider would be addressed through the contract terms, with an expectation that it would be resolved more quickly than non-performance of an in house team.

4.2.5.8. Although the day rates of an in house team of agency contactors would be significantly less than the day rates charged by an external service provider (as in Option 2 or 3) an in house team would have to be maintained and paid throughout the duration of the Project, including relatively inactive periods, whereas the outsourced developer only charges for days worked on the Project. This factor means that an in house team is actually expected to be more expensive than using an external service provider, as well as involving significant risks of the performance of the team.

4.2.5.9. See Appendix 9 for the detailed estimated cost breakdown for this option, and Appendix 10 for the draft project plan.

4.2.6. Option 5 – increase the current Registration system functionality

4.2.6.1. Alternatively, HCPC could continue to use the existing system and "bolt-on" functional improvements.

4.2.6.2. This would still incur a substantial amount of time, effort and resources across HCPC. However, keeping the existing system will reduce the risks around data migration and implementation of new, untested processes.

4.2.6.3. This option may be less risky than developing a new registration system but it is not a risk-free option. Previous experience with the changes to the financial and renewal cycles of the existing system have been problematic and the risk in changes to these existing functions would be significant

4.2.6.4. This option has been costed based on our experience of developing the current Registration system over the past 12 years. Because the current Registration system is a bespoke system we have been dependent on a single supplier and unable to undertake competitive procurement. That factor together with the relative inflexibility of the system has tended to increase the cost of developing the current Registration system. Extensive changes to

the existing code would be required to implement the new functionality, with the result that we estimate that developing the current Registration system would be more expensive than developing a new registration system.

4.2.6.5. This option would also mean that the key benefits around moving to a COTS solution would be lost. HCPC would continue to pay for all Research and Development costs of the current Registration system, and continue to be locked into a support and development contract with a single supplier.

4.2.6.6. See Appendix 11 for the estimated cost breakdown for this option, and Appendix 12 for the draft project plan for this option.

4.2.7. Option 6 – Outsourcing

4.2.7.1. The registration system (not the registration function) that underpins the registration function could possibly be replaced by another system that is serviced and maintained by a third party. HCPC, rather than buying a system, would buy a service to provide the registration system function. This would be similar to outsourcing the accounting system or the HR system.

4.2.7.2. This option would be similar to the proposed solution except the output would be a placed into a service contract that covers the outsourcing of the registration system.

4.2.7.3. It is not clear whether outsourcers already offer this service for CRM registration or membership systems. If the service is not already available, it is unlikely that it would be financially viable for an outsourcer to configure a CRM system to provide a service for us as their first and potentially only client. On the other hand, if the service is already available, we would probably have to adapt our processes to align with the existing system. In either case, substantial time, effort and cost would be required to define and negotiate a service of this nature. We would be dependent on a single supplier, with probably less control than at present.

4.2.7.4. This option has been suggested for completeness but is not realistic since it does not sit within the strategy or philosophy of HCPC.

4.3. Comparing the Costs and Benefits of the Options with Net Present Value Calculations

4.3.1. Purpose of NPV calculations

4.3.1.1. We calculated the net present value (NPV) of options 2 to 5. An NPV calculation is a standard tool in investment appraisal. The NPV is the total cash inflows arising from a project over the project lifetime, less the lifetime total cash outflows (capex and opex). Only marginal/incremental cash flows are counted, i.e. the change in cash flow that results from the project. Future cash flows are discounted to reflect the time value of money and risk. The resulting NPV is used to compare the various options for undertaking a project against each other and against the do nothing option, as part of the decision whether or not to proceed with the project and if so, which option to choose.

4.3.1.2. In the private sector, investments normally do not proceed unless they have a positive NPV – that is, expected income exceeds expected costs – and the option with the highest positive NPV would normally be chosen. None of our options involve generating extra income, so the NPV of all our options is a net *cost*, but this does not mean that we should not proceed. It also does not follow that we should necessarily choose the option with the lowest net present cost. Saying this, calculating and comparing the NPVs of the options is still a necessary part of management's assessment of which options represent acceptable value for money, and which is expected to provide the best value for money when balanced against the risks.

4.3.2. Elements of our NPV calculations

4.3.2.1. The costs and benefits in the NPV calculations are estimates, so are subject to varying degrees of uncertainty. In particular, the main cost of the preferred option, the cost of building the new system, has been calculated from an estimate of the number of developer days required provided by an external supplier. The next stage of the project is to go out to tender for developers to build the system to our specification, as a result of which we will have a market tested value for the cost of building the new system. At that stage, if the NPV has increased significantly beyond the estimates in this paper, the Executive will reassess the business case to conclude whether or not the project still represents acceptable value for money.

4.3.2.2. In the NPV calculations, we have only counted the cash releasing benefits. Those include (for Options 2 to 5) savings on printing and postage costs as a result of being able to send mass electronic communications to Registrants automatically through the new system. We included 5 years' worth of benefits within the NPV

of Option 2. We hope that the new system will remain fit for purpose and therefore the benefits will continue for longer than that, but it would not be prudent to rely on benefits continuing for longer than this.

4.3.2.3. We expect other internal benefits from Options 2 to 5, including the release of Registration Advisors' time from data entry work as a result of online applications and other efficiency gains. We intend to redeploy the resources to more value adding work so this is not a cash releasing benefit and has not been counted in arriving at the NPVs for each option, although the estimated value of the redeployed resource has been shown as a memorandum item. Other internal benefits, such as the expected improvement in quality and reduction in risk through the removal of separate spreadsheet and paper based systems, are not reliably quantifiable so have also not been counted in the NPV calculation, although they are still an important part of the business case.

4.3.2.4. We expect the new system and processes to deliver significant benefits to Registrants, for example the ability to view their accounts online and receive electronic notifications. We have not attempted to put a value on the benefit to registrants in calculating the NPV, but it is a central part of the business case.

4.3.3. Results of the NPV calculations

4.3.3.1. The results of the NPV analysis are summarised in the table below.

Option	1	2	3	4	5	6
Description	Reference Case: No Action	Proposed Option: Proof of Concept	No Proof of Concept	In-house	Increase Reg System Functionality	Outsourcing
	£000	£000	£000	£000	£000	£000
Total Costs	£0	£X	£X	£X	£X	
Total Benefits	£0	£X	£X	£X	£X	
Net Costs	£0	£X	£X	£X	£X	Not costed
Discount Factor	3.50%	3.50%	3.50%	3.50%	3.50%	
Net Present Value (NPV)	**£0**	**£X**	**£X**	**£X**	**£X**	

4.3.3.2. Option 1, no action, by definition has an NPV of nil. However, Option 1 does not achieve the benefits to Registrants described in section 3.6.4, any of the internal benefits described in section 3.6.3, or any of the cash-releasing benefits described in section 3.6.2. As described in sections 3.1.1 to 3.1.6, the current system is increasingly unfit for purpose so the Executive has rejected the do nothing option as unacceptable despite the cost saving.

4.3.3.3. Option 2, the preferred option, has an estimated NPV of £X, which is the second lowest net cost of the four active options we are able to cost.

4.3.3.4. Option 3, although having a lower NPV than achieved by Option 2 (due to reordering phases one and two, thus realising the benefits sooner and for longer) is rejected as being too high risk. The risks are principally associated with resource and time commitments required to deliver the more complex Phase 2 of replacing the current Registration system without undertaking the CPD proof of concept first. A failure to successfully complete this phase of the project could derail the entire project. Further discussion of the rationale not to proceed with this option is provided in more detail in sections 4.2.4.1 to 4.2.4.4.

4.3.3.5. Option 4 has an NPV of £X and Option 5 has an NPV of £X. Both are significantly more expensive than the preferred option, Option 2, further demonstrating the comparative value for money offered by Option 2. If either were less expensive than Option 2, the question would arise as to whether the preferred option was the best value for money and a further assessment of the qualitative benefits would be undertaken, however, as this is not the case this additional justification is not required.

4.3.3.6. Option 6 has not been costed. No established market for the outsourcing of CRM registration or membership systems exists, so it is not possible to estimate a price without going through a partial tender process. Given the other undesirable aspects of the option (discussed in section 4.2.7.3) we did not think the time and cost of a tender process was necessary or justified.

4.3.3.7. The following graphs show the flow of costs and benefits over the duration of the project and the benefits period following the implementation of Phase 2. All options are assessed against a fixed end point of 2023/24.

Graphs removed because they describe scenarios which will pertain to the expenditure for the purchase of goods and services in a contract.

4.3.4. Optimism bias, other quantifiable risks and sensitivity analysis

4.3.4.1. Investment appraisal needs to test the base case NPV for optimism bias and other quantifiable project risks. Optimism bias is the tendency of project appraisers to overstate benefits and understate timings and costs, both capital and operational. Other quantifiable project risks should be considered, but general risks of cost and time overruns are already covered in the optimism bias adjustment so should not be double counted[4]. The base case NPV should also be tested for its sensitivity to key assumptions, also without double counting the adjustment for optimism bias or other project risks.

4.3.4.2. The purpose of the optimism bias and risk adjustments is to test the ranking of the options and the robustness of the business case. Applied to this Project, if the adjustments indicate that the NPV of Option 2 (the preferred option) could in plausible circumstances be more expensive than the alternatives, we should reassess whether Option 2 would still represent acceptable value for money and the best value for money of all the options.

4.3.4.3. The Proposed Option (2) NPV has been adjusted for three possible scenarios which could have an impact on the costs, benefits and duration of the project. The scenarios are outlined below.

- A capital cost overrun of 40% (applicable only to the main contractor costs, less the 15% contingency already built in to the model.
- A reduction in quantified benefits to 60%.
- A time overrun of 40% (equivalent to 8 months) on Phase 2.

4.3.4.4. Capital cost overruns are relatively common in IT-related projects, so an overrun of 40% is not a remote risk. Our mitigations against capital cost overruns include the 15% contingency that is included in the base case value[5], and the division of the Project into phases, giving us the opportunity to reduce the scope if costs escalate to the point where they become unaffordable or poor value for money. A capital cost overrun could apply differently to each option, so this risk could affect the ranking of the options.

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[4] In this case there are no specific risks with financial impact other than cost overrun, time overrun, or shortfall in benefits. The Project risk register includes the risks of cost and time overrun, see risk numbers 9, 14 15 and 22. It includes risks that the solution fails to deliver all the required processes or systems or fails to deliver to the expected level of quality, see risk numbers 10, 12, 18, 19 and 21: the financial impact of those risks would be a combination of increased capital costs, to fix initial failures, and/or a shortfall in expected savings. It is reasonable that there are no other specific risks in this case, because this project does not involve any fundamentally new activities and does not have external dependencies (other than the suppliers).

[5] The NPV as adjusted for the risk of capital cost overrun is net of the contingency included in the original estimate for capital costs, so as to avoid double counting.

4.3.4.5. The financial savings in the base case NPV are mainly on printing and postage, based on our known current costs of sending physical letters to Registrants, and the assumption that the new system functionality plus Rules changes will enable us to reduce paper communication by 80%. We regard this as a relatively safe assumption, so the scenario modelled is that the reduction achieved is only 60%. As noted above we have not counted within the NPV the Registration Advisors time saved and redeployed, so we have not modelled the risk that less time than expected is saved. The risk of a reduction in benefits is independent of which option we choose: if it applies, it would apply to each option equally, so it does not have any effect on the ranking of the options.

4.3.4.6. The main financial effect of a time overrun would be to delay the realisation of financial benefits and potentially reduce the number years in which benefits are realised, as the new system would have fewer years in operation before obsolescence. Our planned timescale is relatively conservative, recognising the need for sufficient internal capacity to manage the project, so the scenario modelled is an increase in the timescale 40% (8 months) in Phase 2. Time overruns could apply differently to each option, so this risk could affect the ranking of the options.

	Option 2 Baseline	Change modelled	Option 2 Adjusted	Revised NPV	Change vs Base
	£000		£000	£000	£000
Total Costs	£X	40% Capital Cost Increase	£X	£X	£X
Total Benefits	£X	40% Lower Realised Benefits	£X	£X	£X
Time	43	40% Time Overrun (Phase 2)	51	£X	£X
NPV	£X	All of above	n/a	£X	£X

4.3.4.7. The table above shows the possible combined adverse effect on Option 2 of a capital cost overrun (40%), a reduction in benefits (to 60%) and a time overrun in Phase 2 resulting in an increased NPV for Option 2 of £X. At this stage this is our worst case scenario for Option 2. Option 2 is still less expensive than Options 4 and 5, assuming that the latter Options are not affected by cost or time overruns. The sensitivity analysis indicates that the ranking of the options would not change: Option 2 is still the option with the lowest net present cost, compared to options 4 and 5, even given the worst plausible case outcomes for Option 2.

4.4. Conclusions

4.4.1. From the NPV and Sensitivity Analysis above the findings show that Option 2 is the preferred and therefore becomes the proposed option. After rejecting the possibility of rephrasing the project as per Option 3 (due to the reasons described in sections 4.2.4.1 to 4.2.4.4), the NPV for Option 2 is the most favourable. This remains the case even when a worst case scenario of increased costs, lower benefits and time overruns are factored in. It is therefore concluded that Option 2 offers the lowest risk, greatest likelihood of realisable benefits and the best value for money.

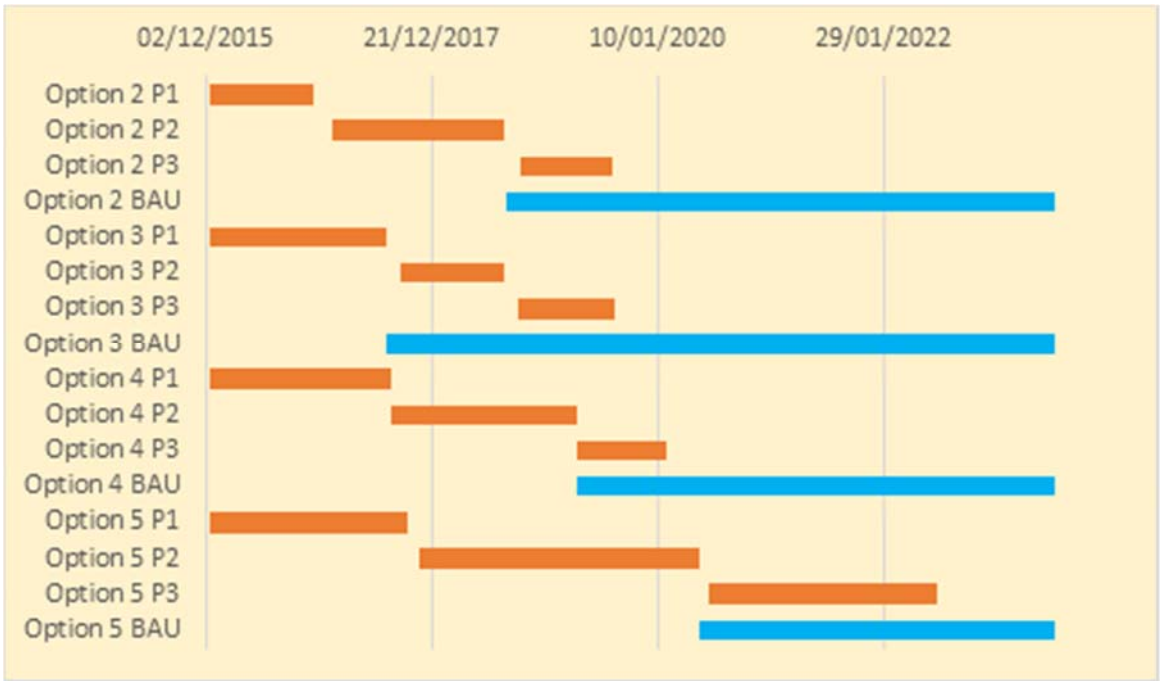
4.4.2. Option 1 of taking no action is not viable as the current Registration system is no longer fit for purpose in a number of key areas. Although this is a zero cost option, the current system does not meet operational requirement or customer expectations and as such would not realise any of the benefits outlined.

4.4.3. Options 4 is rejected primarily in terms of costs, but also the increased risk of developing an in-house team from scratch without the requisite experience.

4.4.4. Option 5 of developing the current Registration system is also rejected in terms of both cost and development time, which indicated that realisable benefits and functionality would not be delivered until beyond a reasonable timeframe.

4.4.5. Option 6 was rejected without the need for full development as it does not concur with existing HCPC policy.

4.4.6. Chart of phases and benefits with relative timings:



5. The Commercial Case

5.1. Procurement Strategy

5.1.1. HCPC Procurement Policy will be followed, whereby Government Procurement Frameworks will the first source of any services sought.

5.1.2. The framework process will allow us to select an appropriate supplier quickly. There are 532 suppliers of MS Dynamics development services on the relevant framework agreement, ensuring a wide choice of provider and competitive costing, helping to ensure value for money. We expect to start the competition to select a supplier from the framework by 28th September 2015 and to appoint by 3rd November 2015. It took 3.5 weeks from start to finish to select and contract with the provider of the Review project business analysis, from the same framework. In contrast, the full OJEU process for the Public Law tender took 6 months from start to finish.

5.2. Service Requirements

5.2.1. The project requires the services of professionals with Microsoft Dynamics expertise, in order to develop the processes on a Dynamics platform.

5.2.2. The project requires the services of application design experts, in order to deliver an audit function on the work undertaken by the Microsoft Dynamics consultants.

5.2.3. The project requires the services of security experts, in order to design and test the end to end security of the solution.

5.2.4. The project requires the services of load testing experts, in order to ensure quality of service for internal and external users.

5.2.5. The project requires the services of user experience experts, in order to ensure the design of the applicant and web portal is optimal for all users.

5.3. Key Contractual Arrangements

5.3.1. Terms and conditions are all standard as per the Government Framework Agreements.

6. The Financial Case

6.1. Capital and Revenue Requirements

6.1.1. See Appendix 7 for full breakdown of costs, summarised below:

	Phase 1 2015-16 £000	Phase 2 2016-18 £000	Phase 3 2018-19 £000	Total £000
CAPEX	£X	£X	£X	£X
OPEX	£X	£X	£X	£X
TOTAL	**£X**	**£X**	**£X**	**£3,983**

	FY 2015-16 £000	FY 2016-17 £000	FY 2017-18 £000	FY 2018-19 £000	FY 2019-20 £000	Total £000
CAPEX	£X	£X	£X	£X	£X	£X
OPEX	£X	£X	£X	£X	£X	£X
TOTAL	**£X**	**£X**	**£X**	**£X**	**£X**	**£3,983**

6.2. Impact on HCPC's finances

6.2.1. This will be one of HCPC's largest projects in financial terms and we need to consider the impact on the organisation's finances. In addition to the question as to whether the project is good value for money, we need to ensure that the Project is affordable within HCPC's available funding, and does not preclude other necessary projects. As well as the capital expenditure and net operating cost impacts of the Project, we need to consider the impact on cash flow of the introduction of the facility for Registrants to pay by monthly direct debit.

6.2.2. The impact of the Project on our finances has been addressed by updating the 5 year plan (also on the agenda for the Council's September meeting). The base case cash flows for the preferred option have been entered into the 5 year plan, together with an estimated cash flow impact of the introduction of monthly direct debit[6]. The impact on our finances of the "worst case scenario" for the preferred option has also been tested in the 5 year plan.

[6] The introduction of monthly direct debit is likely to substantially reduce our cash balances and may mean that we need a borrowing facility from our bankers. Since we have a secure income stream in the form of Registrants' fees, we are likely to be able to agree borrowing on relatively favourable terms

6.2.3. In summary, the 5 year plan including the Project indicates that the Project is affordable within our available funding. However, it will limit our ability to undertake other projects during the next 3 to 5 years and it may increase pressure on departmental operating budgets.

7. The Management Case

7.1. Programme and Project Management Methodology (PPM) and Structure

7.1.1. HCPC Project Management Methodology will be followed. This methodology is based on PRINCE2, however the HCPC expands on this to provide further and more detailed decision making from EMT. This approach provides project management benefit, since the project oversight and accountability comes from both the project board and EMT. HCPC has 14 years' experience of managing projects under this methodology.

7.1.2. In addition, the Registration Transformation and Improvement Project will enhance this methodology by introducing gateway reviews, outlined in the 'Monitoring and Reporting' section below.

7.1.3. As well as the Project Management methodology, this project also needs to abide by HCPC's other policies and standards, including the Procurement Policy, Information Security Policy (to maintain HCPC's ISO27001 certification), Quality Assurance standards (to maintain HCPC's ISO9001 certification).

7.1.4. Delivery of this Project will also create core strands within the workplans of other departments: Registrations, Finance Communications and IT.

7.1.5. The project has undergone an independent audit during the Initiation, undertaken by Grant Thornton, please see Appendix 13.

7.1.6. Project roles are fulfilled by:

- Project Sponsor: Marc Seale, Chief Executive
- Project Lead: Gregory Ross-Sampson, Director of Operations
- Senior Supplier: Guy Gaskins, Director of IT
- Senior User: Richard Houghton, Head of Registration
- Quality Assurance: Abigail Gorringe, Director of Education
- Project Manager: Martha Chillingworth, Senior Project Manager

7.2. Programme and Project Management Plans

7.2.1. See Appendix 8, summarised below.

Date	Task
September 2015 to November 2015	Procurement
November 2015 to December 2015	High level design
December 2015 to November 2016	CPD Proof of Concept Phase
November 2016 to January 2017	Gateway review
January 2017 to August 2018	Replacement of the current Registration system Phase
August 2018 to September 2018	Gateway review
September 2018 to August 2019	Online Applications Phase
August 2019 to October 2019	Project Closure
October 2019 to May 2020	Contingency

7.3. Use of Subject Matter Experts

7.3.1. Subject matter experts will be required internally within HCPC, from the Registration team, the Finance team, the Communications team, and the IT team.

7.3.2. Subject matter experts external to HCPC, with Microsoft Dynamics expertise, are required in order to develop the processes on a Dynamics platform.

7.3.3. Subject matter experts external to HCPC, application design specialists, are required in order to deliver an audit function on the work undertaken by the Microsoft Dynamics consultants.

7.3.4. Subject matter experts external to HCPC, security specialists, are required in order to design and test the end to end security of the solution.

7.3.5. Subject matter experts external to HCPC, load testing specialists, are required in order to ensure quality of service for internal and external users.

7.3.6. Subject matter experts external to HCPC, user experience specialists, are required in order to ensure the design of the applicant and web portal is optimal for all users.

7.4. Contract Management Arrangements

7.4.1. The end of each Phase of the project represents a review point in our contractual arrangements of the project. The Gateway reviews are the

mechanism by which we will formally review our contractual arrangements at the conclusion of each phase.

7.5. Benefits Realisation

7.5.1. The metrics for each quantifiable benefit in Appendix 4 have been baselined as of August 2015.

7.5.2. All benefits have been assigned an owner, who will be responsible for delivery of that benefit. Benefits are assigned to:

- Greg Ross-Sampson, Director of Operations
- Richard Houghton, Head of Registration
- Guy Gaskins, Director of IT
- Roy Dunn, Head of Business Process Improvement
- Andy Gillies, Director of Finance
- Human Resources team

7.5.3. All quantifiable benefits have been given a timeframe within which this benefit is expected to be realised. Each benefit owner will undertake a measurement, as per the baselining exercises, in order to ascertain whether the expected benefits of the project have been delivered.

7.6. Risk Management

7.6.1. As per the HCPC Project Management Methodology, project risks are reviewed at each Project Board meeting.

7.6.2. Please see Appendix 5 for the Project Risk Register.

7.6.3. This project has also created its own Corporate Risk Register, in order to depict the risks that the project poses to the organisation and how they are being mitigated. Please see Appendix 6.

7.7. Monitoring during implementation

7.7.1. The Project has been broken into three phases. Between each phase a Gateway review will take place, whereby the project performance against estimated time, cost and quality will be assessed. A formal presentation will be given to EMT, and approval to proceed to the next phase will be sought. Upon EMT approval, the procurement process for services to deliver the next phase will begin.

7.7.2. Each phase will be broken down into stages, as per the PRINCE2 methodology, and after the completion of each stage a Stage Review will take place. The purpose of a Stage Review is to enable the Project Board to assess the products which have been delivered, check the

progress of the work against initial estimates, and ascertain whether any reforecasting (within contingency) is required.

7.8. Post Implementation Evaluation Arrangements

7.8.1. As per the HCPC Project Management Methodology, lessons learned workshops will be held after project closure, and an End Project Report delivered to EMT.

7.9. Contingency Arrangements

7.9.1. Cost contingency for this project are 15% or £X, aligned with the HCPC Project Management Process. This is reflected in the budget.

7.9.2. The cost tolerance for exceeding the approved budget excluding contingency is 0, as per the HCPC Project Management Process.

7.9.3. Time contingency for the project is 15% or 31 weeks, aligned with the HCPC Project Management Process. This is reflected in the plan.

7.9.4. The time tolerance for exceeding the approved plan excluding contingency is 0, as per the HCPC Project Management Process.

Appendix 1: how the Project links to the Strategic Intent and the IT Strategy

Strategic Objective	Objective Sub-heading	How the Project supports the objective
HCPC Strategic Objective 1: Good Governance To maintain, review and develop good corporate governance	To ensure continued risk management	This project will improve risk management in many ways. Providing one overall view of all Registration-related work will ensure that all areas of HCPC can be provided with easier and quicker visibility of Registration-related work and will ensure that Registration-related risks are identified and addressed quickly.
	To maintain regular monitoring of performance against objectives	The ability to report on Registration processes easily and accurately will work towards enabling this regular monitoring.
HCPC Strategic Objective 2: Efficient Business Processes To maintain, review and develop efficient business processes throughout the organisation	To continue to promote a culture of continuous quality improvement	A key deliverable of this project is the implementation of the quality assurance processes mapped during the Registrations Process and Systems Review Project.
	To maintain, review and develop standards and processes as required across all functions.	Processes mapped during the Registrations Process and Systems Review Project will be implemented during the Registrations Transformation and Improvement Project. Building a new system using commercial off the shelf technology will ensure that further process developments can be built by a range of suppliers in in the future.
	To ensure continued compliance with external quality assurance frameworks.	The Registrations Transformation and Improvement Project will support ISO9001:2008 by implementing auditable processes which follow defined business rules.
	To maintain, review and develop organisation-wide policies including equality and diversity and corporate social	Equality and Diversity requirements captured during the Registration Process and Systems Review Project will be implemented.

Strategic Objective	Objective Sub-heading	How the Project supports the objective
	responsibility policies	
	To build partnerships with suppliers to ensure value for money procurement.	The Registrations Transformation and Improvement Project will be split into four phases, with Gateway Reviews taking place after the completion of each phase. These Gateway Reviews will strengthen partnerships with suppliers by giving the opportunity for the working relationship to be reviewed at strategic points in the project. The Gateway Reviews will ensure value for money as they will incorporate a procurement exercise.
	To increase the benefit and reduce the cost of regulation.	The Registrations Transformation and Improvement Project supports this objective by delivering several financial and non-financial benefits, as listed in the Business Case.
HCPC Strategic Objective 3: Communication To increase understanding and awareness of regulation amongst all stakeholders	To engage with registrants to increase understanding of the benefits of regulation, the work of the HCPC and what is required of them.	The Registrations Transformation and Improvement Project supports this objective by delivering processes which incorporate automated and semi-automated electronic communications. Registrants (and applicants) will also have a good understanding of what is required of them when using the new system, due to the introduction of online forms with integrated guidance notes and mandatory fields.
HCPC Strategic Objective 4: Build the Evidence Base of Regulation To ensure that the organisation's work is evidence based	To undertake research into HCPC's current regulatory processes (for example, fitness to practice, education, registration, CPD).	This objective is supported by the introduction of auditable and reportable Registrations and CPD processes.

The Registrations Transformation and Improvement Project will support the first three objectives within the HCPC IT Strategy.

IT Objective	**How the Project supports the objective**
Information Technology Objective 1: To drive efficiencies within the organisation by the use of Information Technology and Information Systems.	The Registration Transformation and Improvement Project will support this objective by implementing new, more efficient processes using technology and systems.
Information Technology Objective 2: To apply Information Technology within the organisation where it can create business advantage.	The Registration Transformation and Improvement Project will support this objective by building an Information Technology solution to fulfil the requirements identified during the Registrations Process and Systems Review Project, in order to realise benefits listed in the Business Case. Moving to a commercial off the shelf solution will ensure that HCPC are not restricted to a single supplier in the future, enabling competitive procurement and more flexible support arrangements.
Information Technology Objective 3: To protect the data and services of HCPC from malicious damage and unexpected events.	The Registrations Transformation and Improvement Project will support this objective by ensuring all access to the online system is fully authenticated, appropriate access permissions are given to all users, and tested security measures are in place.

Appendix 2: how the Project supports HCPC risk management

Corporate Risk	How the Project will mitigate it
Strategic Risk 1.2 Unexpected change in UK legislation	By ensuring that Registrations processes and systems are flexible enough to accommodate changes to UK legislation.
Strategic Risk 1.5 Loss of reputation	By providing HCPC with assurance of the quality of operational procedures within Registrations.
Strategic Risk 1.6 Failure to abide by current Equality and Diversity legislation	By building the new system in technology which caters for Equality and Diversity requirements.
Strategic Risk 1.7 Failure to maintain HCPC culture	By promoting transparency of process, and providing business rules within the system to support this.
Operations Risk 2.2 Rapid increase in registrant numbers	By implementing processes and systems which are flexible enough to accommodate an increase in registrant numbers.
Operations Risk 2.3 Unacceptable service standards	By supporting ISO9001:2008 procedures.
Operations Risk 2.4 Inability to communicate via postal services (e.g. Postal strikes)	By implementing automated and semi-automated electronic methods of communication, such as email and SMS.
Operations Risk 2.15 Expenses abuse by Partners not prevented	By providing a thorough audit trail of Registration Assessors' and CPD Assessors work.
Communications Risk 3.4 Failure to inform Registrants Article 3 (13)	By providing a facility for bulk emailing to all, or a subset of, Registrants.
Corporate Governance Risk 4.12 Operationalise Section 60 legislation	By implementing processes and systems which are flexible enough to cost-effectively accommodate a new piece of legislation.
Corporate Governance Risk 4.13 Failure to comply with DPA 1998 or FOIA 2000, leading to ICO action.	By providing reporting facilities enabling HCPC to meet the requirements of DPA 1998 and FOIA 2000.
IT Risk 5.2 Technology obsolescence (hard/software)	By moving to a commercial off the shelf product, which will benefit from the ongoing development cycle of the solution provider.
IT Risk 5.3 Fraud committed through IT services	By enforcing strict authentication, access, and business rules. All processes are fully auditable.
IT Risk 5.5 Malicious damage from unauthorized access	By ensuring that tested security measures are in place.

Corporate Risk	How the Project will mitigate it
Partners Risk 6.4 Partners poor performance	By providing the facility for Registration Assessors' and CPD Assessors' work to be fully auditable.
Project Management Risk 8.18 Failure to build a system to the Registration department's requirements	By ensuring that all Registrations-related processes have been reviewed and updated. By utilising an Agile development methodology, with Stage Reviews within each phase, and Gateway Reviews between each phase in order to ensure the project remains on track.
Quality Management Risk 9.1 Loss of ISO 9001:2008 Certification	By providing clear documented processes with clear audit trails for all Registration activity
Quality Management Risk 9.2 Employees non-compliance with established Standard Operating Procedures	By enforcing a set of business rules within the processes and system.
Registration Risk 10.1 Customer service failures	By providing customer service enhancements such as email automation and integration with the Mitel phone system.
Registration Risk 10.3 Inability to detect fraudulent applications	By changing the processes and system in order to allow Registration Advisors to become more inquisitive.
Registration Risk 10.4 Backlogs of registration and applications	By implementing streamlined processes.
Registration Risk 10.5 Mistake in the Registration process leading to liability for compensation to Registrant or Applicant	By implementing clearly defined processes, enforcing business rules, and providing audit facilities within the new system.
Registration Risk 10.6 CPD processes not effective	By integrating the CPD processes into the same system as the other Registration processes (currently they run via a system of spreadsheets).
HR Risk 11.2 High turnover of employees	By changing Registration Advisor roles, making them more stimulating with the intention to increase staff retention in this role.
Legal Risk 12.2 Legal challenge of HCPC operations	By ensuring that processes which are fully aligned to UK legislation are implemented, and using business rules.
Finance Risk 15.3 Major project cost over-runs	By following HCPC's Project Management methodology including regular scrutiny by EMT, external scrutiny by our external auditing body, and in addition the project will be undertaking Gateway reviews between

Corporate Risk	How the Project will mitigate it
	each phase. The project may be stopped at any of these Gateway reviews.
Finance Risk 15.25 Failure to adhere to OJEU Procurement and Tendering requirements leads to legal challenge and costs	By procuring services via the Government Procurement Frameworks where appropriate and proportionate to do so.
Information Security Risk 17.1 Loss of information from HCPC's electronic databases due to inappropriate removal by an employee	By ensuring appropriate user permissions and audit trails are in place.
Information Security Risk 17.2 HCPC Document & Paper record Data Security	By eliminating paper from Registrations as far as possible.
Information Security Risk 17.3 Unintended release of electronic or paper based information	By ensuring appropriate user permissions and audit trails are in place on the system, and that minimal paper is used within Registrations. Additionally, ISO27001 requirements are supported in this way.
Information Security Risk 17.6 Loss of Registrant personal data by the registration system application support provider in the performance of their support services (specific risk)	By decommissioning the current Registration system.
Information Security Risk 17.8 Loss of personal data by an HCPC Contractor or Partner providing application support in the performance of their support services (specific risk)	By ensuring that security protocols are followed, including remote access only granted on application and restricting access to personal data.

Appendix 3: Project scope

- Procurement of Microsoft Dynamics CRM consultancy services.
- Procurement of SMS services.
- Expansion of existing subscription licensing:
    - Microsoft Dynamics CRM licensing.
    - Microsoft SharePoint licensing.
    - Microsoft Windows Server licensing.
    - Microsoft SQL licensing.
    - VMWare licensing.
- Design and build of the infrastructure required to build the system upon, including development, testing and production environments.
- Design and build of the security architecture required to build the system securely.
- Design and build of the system architecture, including databases.
- Design and build of the business rules within Dynamics CRM.
- Modules of the solution include, but are not restricted to:
    - The Register
    - Online applications
    - Online renewals
    - Online CPD management
    - CPD processing
    - Application processing
    - Online access for Assessors to process their work
    - Internal Quality Assurance
    - Financial transaction processing
- Any process adjustments following full system design.
- Design and build of the web portal.
- External audit of all design and development work.
- Functional testing of all development work, and any remedial work required.
- Non-functional testing of all development work, including load testing, and any remedial work required.
- User-experience testing of the web portal, and any remedial work required.
- Security testing of the system, both back-end and the web portal, and any remedial work required.
- Disaster Recovery provisions in the Rackspace environment.
- Integrations with existing systems: Sage, Albany, Worldpay, Semafone, Mitel telephony, PAF (postcode address finder), public register including multi-search functions, Dotmailer.
- Integrations with new systems: SMS services, ID verification services.
- IT technical training.

- Administrator/superuser training.
- Train-the-trainer training, including production of all training materials – to cover both technology and process.
- Support and maintenance of the system, as it is released into the production environment.
- Data migration from the current Registration system and supporting spreadsheets into the new system.
- Building reports – including operational, financial, FOI etc.
- Project-related communications to all stakeholders, including HCPC users, professional bodies, registrants and applicants.
- Public consultation and changes to HCPC Rules.

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

- Changes to the standards used in Registrations (e.g. standards of proficiency, standards of conduct, CPD standards, etc.)
- Registration Appeals processes. These are currently being defined, and will come into the project at a later stage.
- Integration with the new HR and Partners system. This system is currently being implemented, and while we know that integration will be required this cannot yet be planned and cost estimates drawn up.
- Passlist automation; this will remain in a Lotus Notes database.
- Assessor scheduling; this should be looked at in conjunction with all teams who need to schedule work with Partners.

Appendix 4: Benefits

Cash-releasing benefits:

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
▪ Digital by Default ▪ New Ways of Communicating ▪ Enhancement of Registration Advisor Jobs	▪ To increase pro-active Registration-related communication with applicants and registrants, using technology-based automation therefore without significantly increasing the workload of Registration employees. ▪ To eradicate the vast majority of the physical paper that the Registrations team deals with, by empowering applicants to enter their own data using online self-services and strongly encouraging all applicants and registrants down the digital-by-default route. ▪ To enhance Registration employees' jobs by removing manual tasks around processing paper, providing more opportunity to scrutinise the Registration information received.	Paper and postage costs	Richard Houghton	There has already been a big reduction in paper and postage costs within the HCPC with the introduction of the online renewals system. By ensuring it is possible to do all actions online, we can reduce this cost even more. Current paper and postage costs in Registration per year: Letters – activation/authentication codes: £X Renewal forms: £X CPD selection letters: £X Removal letters: £X Certificates: £X Booklets: £X CPD annual report: £X Envelopes: £X Scanning: £X Special delivery costs: £X TOTAL: £X	Applicants and Registrants need to opt-in to receive electronic communications.	In future we expect to spend £484,269 less than currently on paper and postage in Registration

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
				Expected costs in future: Letters – activation/authentication codes: £X Renewal forms: £X CPD selection letters: £X Removal letters: £X Certificates: £0 Booklets: £X CPD annual report: £X Envelopes: £X Scanning: £X Special delivery costs: £X TOTAL: £X A reduction of £484,269		
▪ Commercial Off The Shelf System	▪ To design and build a new Registrations System which is easy and cost effective to change. We want to build a solution where we can quickly competitively tender for suppliers to make changes to ensure value for money.	Current development costs	Guy Gaskins	The current Registration system is maintained by X Total spend 2011-2014: £X We will continue to invest in any new system however this is expected to be at least a X% reduction.	All core systems have an annual budget to make minor enhancements. If this trend continues, then a like for like saving compared to our current Registration System would be £X annually.	£X annually
▪ Commercial Off The Shelf System	▪ To implement all new processes with a focus on ensuring that all data continues to be held and accessed in a secure way. This incorporates	Data security	Roy Dunn	ICO can fine us an unlimited amount for inappropriate storage of data. https://ico.org.uk/about-the-ico/news-and-events/news-and-blogs/2014/05/top-it-		£X one off

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
	both technology and working practices.			data-security-threats-revealed-and-what-organisations-must-do-to-stop-them/ We have had no near misses, however want to fully encrypt the database to take belt and braces approach. If we were to keep the existing Registration system, we would need to encrypt its Oracle database. Encryption costs for this database, including implementation costs: £X Encryption costs for Microsoft Dynamics SQL database: £X		
▪ Commercial Off The Shelf System	▪ To design and build a new Registrations System which is easy and cost effective to support and change. We want to build a solution where we can quickly competitively tender for suppliers to provide support and to make changes, to ensure value for money.	Support and Maintenance	Guy Gaskins	Since we are the only customer for the current Registration system we are the sole source of research and development. By using a commercial off the shelf package we will leverage a much larger investment into the development of the application. We should also expect to see a reduction on the annual costs for application support and maintenance.	Figure is based on current commercial support agreement for the current Registration system, and an estimate of future support costs.	£X

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
				We would expect any new registration system to be supported and maintained at the same rate as the Case Management System, or lower. Based on the current costs this will amount to at least £X.		
▪ Enhancement of Registration Advisor Jobs	▪ To enhance Registration employees' jobs by removing manual tasks around processing paper, providing more opportunity to scrutinise the Registration information received. ▪ To make Registration employees' jobs easier by creating clear and easily accessed work queues which utilise business rules, and giving clear lines of issue escalation.	Reduced recruitment costs	Human Resources	By making the jobs of members of the Registration team more stimulating, HCPC will reduce staff turnover and reduce recruitment costs. Current staff turnover: Average of 10.6 people leave per year since 2009 (including internal transfer). It cost £X to recruit 44 people giving an average of £Xpp. Turnover is hoped to reduce by 4 people per year.	Staff turnover can be based on a wide range of factors, such as people's desire to gain employment in other areas, or to take other career opportunities. This is irrespective of their enjoyment and job satisfaction at HCPC.	£X annually
▪ Digital By Default	▪ To design and build a new Registrations System which will cater for all processes reviewed and mapped as part of the Registrations Process and Systems Review Project. ▪ To eradicate the vast majority of the physical paper	Financial processing cost	Andy Gillies	At the moment, changing a direct debit is a paper-based process but using a credit card to pay can be done online or over the phone – which we are then charged processing fees for by our bank. By making the direct debit process computer-based we will encourage	The assumption is that 80% of all applicants and registrants will pay by direct debit in the future, and only currently do not pay by direct debit because they have been deterred by	£X annually

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
	that the Registrations team deals with, by empowering applicants to enter their own data using online self-services and strongly encouraging all applicants and registrants down the digital-by-default route.			registrants to use this, and reduce the bank charges incurred. Credit card charges incurred during physiotherapists' renewal in 2014: £X. Scaled up to all registrants over 2 yearly cycle: £X New cost, assuming 20% continue to pay by credit card: £X	the paper-based process.	

Non-cash releasing benefits:

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
▪ Enhancement of Registration Advisor Jobs ▪ Consolidated Data	▪ To enhance Registration employees' jobs by removing manual tasks around processing paper, providing more opportunity to scrutinise the Registration information received. ▪ To make Registration employees' jobs easier by creating clear and easily accessed work queues which utilise business rules, and giving clear lines of issue escalation.	Registration Advisor Role Change to provide greater and more significant assurance	Richard Houghton / Greg Ross-Sampson	Using an online system means that the onus for data entry is placed on the applicant or registrant; rather than a Registration Advisors inputting data into our system, we can change the nature of their roles to be more inquisitive as to the data they are presented with. Greater quality assurance and validation of Registration-related decisions.	This assumes that no paper at all will be submitted as part of these processes.	Time saving 9,660 hours per year, re-invested in taking more active inquisitorial approach to application validation, and providing better customer services.

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
	▪ To enable Registration employees' work by consolidating all data into one source; a proportion of this data is currently held independently to the legacy registration system.			The Registration team will conduct more random audits of Registration-related decisions. Providing an additional level of quality assurance and information security verification. Current hours per year: UK Applications: 10,500 International Applications: 21,000 CPD: 5,250 Renewals: 3,500 Emails: 5,250 Phones: 22,750 Readmission: 1,750 Correspondence: 3,500 Printing: 3,500 TOTAL: 77,000 New hours per year on the same tasks: UK Applications: 5,670 International Applications: 16,170 CPD: 5,250 Renewals: 3,500 Emails: 10,080 Phones: 17,920 Readmission: 1,750 Correspondence: 3,500 Printing: 3,500 TOTAL: 67,340		

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
▪ Improved Customer Experience ▪ New Ways of Communicating	▪ To improve the customer service experience for applicants and registrants by providing the opportunity to engage with HCPC in a range of ways, including new customer service channels such as SMS. ▪ To increase pro-active Registration-related communication with applicants and registrants, using technology-based automation therefore without significantly increasing the workload of Registration employees.	New ways of communicating with Applicants and Registrants	Richard Houghton	Applicants and Registrants will interact with HCPC in a way more in line with other organisations they deal with, such as online banking, or interactions with their local Council. As per HCPC's recent Ipsos MORI survey, reported to Council on 12 February 2015, Registrants prefer electronic communication. [7] They will be able to log into the portal in order to update personal information, for example. Applicants will be sent automated SMS and email informing them of application progress. These should prevent a large amount of non-value-add phone calls coming into Registrations. By automating communications, triggered by gateways in processes and utilising data within the	Assuming that the gross volume of emails and calls will not increase.	40% reduction in non-value-add telephone interaction, and 30% reduction in non-value-add letter correspondence for established professions on the register

[7] Go to http://www.hcpc-uk.org/assets/documents/10004A69Enc05-Stakeholderperceptionsandsocialmediaintelligenceresearchreport.pdf for the full paper, examples of key findings are:
"93% said that they felt it appropriate to be reminded about registration renewal via email and 81% thought email the most appropriate way for the HCPC to provide information about its work"; section 6.3, page 7.
"When it comes to being informed that they need to renew their registration … Email [was] seen as the most appropriate way … (93%)."; section 5.3.3, page 73
"When providing information on the CPD audit process in the future … as with fitness to practice, to largely be provided via email (81%)"; section 5.3.4, page 75

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
				system, HCPC can increase the automation of good quality and relevant personalised/ individualised communication, whilst reducing 1:1 interactions between HCPC staff and registrants. In turn, this will reduce the workload/QA checking within the Registrations Team associated with creating physical paper based communications. Currently average 150,000 calls per year. In future, this will be reduced by 40% to 90,000 as we expect not to receive any non-value-add calls with introduction of SMS and email Currently 120 letters per day; 30% reduction anticipated so 84 per day in future.		
▪ Improved Customer Experience	▪ n/a	Pro Rata Fees	Greg Ross-Sampson/ Andy Gillies	By moving to pro-rata fee calculation for registrants who join the register part way through a two year cycle, HCPC will offer a fair and understandable way of charging the Registration Fees.		Not measurable

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
				By offering a monthly Direct Debit payment (at the moment, DDs can only be taken in six-monthly instalments), the cost of the registration fee will be spread. Clearer pro-rated fee approach will make the fee cycle quicker and easier for prospective registrants to understand. Registrants will be enabled to budget their Registration Fee monthly, rather than considering a lump sum every six months.		
▪ Consolidated Data	▪ To enable Registration employees' work by consolidating all data into one source; a proportion of this data is currently held independently to the legacy registration system.	Consolidation	Greg Ross-Sampson/ Richard Houghton	Currently the Registration team uses 2 Lotus Notes databases and 42 spreadsheets, in addition to the current Registration system. By moving all data from excel spreadsheets, Lotus Notes etc. onto one system, everyone will have one source and one version of the truth. By showing Temporary and Occasional Visitors to the Register on the same		Not measurable

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
				public register as all Registrants, the public will be able to find and clearly identify all people practising in the UK, and what title they are practising under – whether it is a title protected by the HCPC, or the title they use in their country of primary practice.		
▪ Commercial Off The Shelf	▪ To design and build a new Registrations System which is easy and cost effective to support and change. We want to build a solution where we can quickly competitively tender for suppliers to provide support and to make changes, to ensure value for money.	Aligning Registrations system with HCPC IT Strategy	Guy Gaskins	By moving away from a bespoke system to a COTS solution, the Registrations function will align with HCPC IT Strategy. Moving to a COTS solution will ensure that HCPC are not restricted to a single supplier in the future, enabling competitive procurement and more flexible support arrangements This will also ensure that HCPC benefits from the Research and Development of a solution used by a wide range of other customers.		Three competitive quotes will always be obtained for any development work over the procurement threshold.

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
				As part of the project we will undertake more than one competitive procurement exercise – which can be repeated in future for as long as the system needs support.		
▪ Digital By Default	▪ To implement all new processes with a focus on ensuring that all data continues to be held and accessed in a secure way. This incorporates both technology and working practices.	Data security	Greg Ross-Sampson	By removing paper-based steps in our processes and replacing them with the online secure portal environment, we will reduce the risk of paper-based applications containing personal information being lost in transit.	Accurate baseline of current postal and transit losses is difficult to map.	Not measurable
▪ Digital By Default ▪ Enhancement of Registration Advisor Jobs	▪ To eradicate the vast majority of the physical paper that the Registrations team deals with, by empowering applicants to enter their own data using online self-services and strongly encouraging all applicants and registrants down the digital-by-default route.	Fewer errors, applicant-led	Greg Ross-Sampson	Applicants are guided to the most appropriate application route via automated online channelling. Applicants will not be able to submit an incomplete application, unless they scan the wrong information. Currently 3000 incomplete applications get sent back to applicants per year. This will be reduced by		300 incomplete applications returned to Applicants within two years

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
				90% to 300 per year within two years.		
▪ Enhancement of Registration Advisor Jobs	▪ To make Registration employees' jobs easier by creating clear and easily accessed work queues which utilise business rules, and giving clear lines of issue escalation.	Fewer errors, HCPC employee-led	Greg Ross-Sampson	The system will enforce the appropriate business rules associated with each Registration task, therefore reducing the risk of human error. Registration experienced 10 near misses as a result of human error averages over 2012, 2013 and 2014. Expected reduction in Registration near-misses as a result of human error, of 50% to five over three years.		
▪ Enhancement of Registration Advisor Jobs ▪ Consolidated Data	▪ To make Registration employees' jobs easier by creating clear and easily accessed work queues which utilise business rules, and giving clear lines of issue escalation.	Better work transparency	Greg Ross-Sampson	The system will have a transparent view of work to be undertaken, work in progress and work completed – and by whom. Currently work is assigned to Reg Advisors, in the future they will be able to quickly see what work needs to be undertaken and allows them to better plan their work day. Empowered to take more control of their own workload, rather than having each task assigned to them.		No way to measure

High Level Objective	Objective	Benefit	Owner/ Source	Description	Dependencies and assumptions	Measure
▪ Enhancement of Registration Advisor Jobs ▪ Consolidated Data	▪ To make Registration employees' jobs easier by creating clear and easily accessed work queues which utilise business rules, and giving clear lines of issue escalation. ▪ To enable Registration employees' work by consolidating all data into one source; a proportion of this data is currently held independently to the legacy registration system.	Better process management	Richard Houghton	Greater visibility through dashboarding of all workflow at the touch of a button quickly and easily, so pinchpoints, bottle necks and areas needing attention will be highlighted more quickly and therefore action can be taken quickly to resolve the issue. Currently there is a delay between the work being undertaken vs the counting of that work being undertaken; 48 hours will be reduced to zero.		Immediate, dynamic view of all Registration work.

Negative benefits

Negative Benefit	Owner/ Source	Description
Applicant/Registrant disengagement due to requirement to use an online portal.	Greg Ross-Sampson	• By developing a new solution which relies on applicants/registrants using an online portal for the vast majority of their interactions with us, HCPC will disengage applicants/registrants who are not computer literate. • However, this negative benefit is countered by the fact that if an applicant/registrant works in a major institution then electronic/online records keeping is common practice. In the case of applicants/registrants working in private practice, the vast majority will engage with the Inland Revenue using their

Negative Benefit	Owner/ Source	Description
		online portal, and they may use online banking for their business.
Registration Advisors' disengagement due to their role changing	Greg Ross-Sampson	• Registration Advisors' roles will change as part of this project, moving away from data entry and into more inquisitive work. There will be some Registration Advisors who enjoy their current role and do not wish to upskill in this way.
Single point of failure	Guy Gaskins	• By following the HCPC Information Technology Strategy and considering Microsoft products, we will create a strong dependency on Microsoft and their future ability to invest, support and maintain the product set.
Emails into Registration team will go up	Richard Houghton	• By encouraging applicants and registrants to interact with HCPC electronically, the number of emails received will rise.

Appendix 5: Project risk register

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
001	Resources	Resource availability	The project requires availability of employees within the Registration Dept, across the organisation and externally.	Greg Ross-Sampson	Employees not available to engage in process analysis and requirements gathering due to operational commitments.	4	5	20	Prevent	Registration backfill requested. Communication plan identifies the communication needs of stakeholders. Project plan should identify key milestones for communication and which method can be used.	3	5	15
002	Resources	Re-prioritisation of project	Major projects are prioritised within the organisation based on business justification and available resource.	Greg Ross-Sampson	Due to the current influences of change (primarily to do with HSCB, Enabling Excellence Command Paper, Voluntary assured registers) EMT decide the project must be re-prioritised.	3	4	12	Accept	Difficult to mitigate as the risk is external to the project itself. Project board must monitor continually monitor project environment to inform decision making (eg. Committed spends, resource allocations).	3	4	12

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
003	Legal	Procurement process	This project will procure using government procurement framework, with pre-defined and fixed terms and conditions.	Greg Ross-Sampson	There is a risk that this procurement process could result in not being able to award to an appropriate bid.	1	4	4	Accept	Thorough review of all Ts&Cs, and ensuring a clear understanding of our requirements by the potential suppliers.	1	4	4
004	Supplier	Risk removed as it refers to a contract for the purchase or supply of goods and services	.										
005	Planning	New professions	There may be a requirement for HCPC to manage new professions during the lifetime of this project.	Greg Ross-Sampson	The management of new professions would cause extra work for internal resources, and may delay this project.	3	3	9	Accept	Backfill has been requested.	3	2	6

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
006	Planning	Interdependencies with other projects	There are many projects within the Portfolio which are scheduled to deliver over the next few years; any release of the new registrations system must fit into this schedule in order to minimise change fatigue within HCPC.	Greg Ross-Sampson	There is a risk that releases will be planned for this project which will overlap with other projects' deployment.	4	3	12	Reduce	Communication within Portfolio. Strong portfolio management; project prioritisation.	3	2	6
007	Time	Rules change	The process changes identified as part of the analysis work constitute large changes, and are going into consultation	Greg Ross-Sampson	There is a risk that the Rules changes requested will not be approved by the Privy Council, or they may not be given any priority within Department of Health.	3	3	9	Accept	This risk should be accepted; even if the Rules are not approved, some changes can still be implemented.	3	3	9

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
008	Supplier	Supplier expectations	This project may be affected by BAU work to the extent that the timelines need to change - any supplier working with us would need to accept that work may slow down.	Greg Ross-Sampson	There is a risk that a supplier would not accept a change in the pace of the project and become disengaged.	1	3	3	Reduce	All suppliers will have their expectations managed from the start of the project, as regards the other internal commitments required of the project team.	1	3	3
009	Supplier	Supplier delivery - time	There is a risk that the chosen supplier may deliver work more slowly than agreed at tender.	Greg Ross-Sampson	There is a risk that the supplier will not deliver resources within our timescales.	3	3	9	Reduce	This risk will be accepted up to a point, in that we will appoint a supplier on the basis of the quality of their work in the first instance. However if a supplier does not have resources available for a period of time which is outside of the time contingency of this project they will not be appointed.	3	3	9

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
010	Supplier	Supplier delivery - quality	There is a risk that the chosen supplier may deliver work of a poor quality.	Greg Ross-Sampson	Poor quality work from the supplier will result in a time delay; the supplier will need to be replaced and the work will need to be amended to reach the expected standard.	2	5	10	Reduce	Customer reference sites will be consulted prior to engaging a supplier; any supplier engaged will be fully aware of the standards of quality we expect.	1	5	5
011	Resources	Social media	There is a lack of corporate knowledge of the best use of social media as part of Registration processes.	Greg Ross-Sampson	There is a risk that this lack of corporate knowledge of social media as part of Registration processes will result in building a system which does not best utilise social media.	2	3	6	Reduce	Seek advice and knowledge; work with the comms team to come up with solution, looking externally as necessary.	1	3	3

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
012	Quality	Project output	There is a risk that this review project will build a system which is not appropriate to the HCPC.	Greg Ross-Sampson	The solution needs be proportionate and appropriate to the needs of HCPC; unnecessary or excessive functionality will be poorly received.	2	4	8	Reduce	Quality Assurance on this project will ensure that the solution is appropriate to the HCPC.	1	4	4
013	Scope	Policy changes	There is a risk that changes will be made in HCPC policy that will affect the work of this project.	Greg Ross-Sampson	Changes in policy around, for example, return to practice requirements, could have an effect on the business processes which will administer and enforce these policies.	3	4	12	Reduce	The project team will communicate with the Policy team to ensure early notification of any policy changes that could affect the work. We are planning to use an agile approach to the design and build.	1	4	4

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
014	Technology	Licensing	There is a risk that Registration partners accessing the system to undertake the assessments will cause a huge increase in our licensing costs.	Guy Gaskins	Costs for 350 partners could outstrip costs for HCPC internal users.	3	4	12	Reduce	The project team will ensure that the design phase addresses this risk by finding a cheaper way to integrate with the portal.	1	4	4
015	Scope	Scope creep	Scope creep has already been experienced during the Registrations Process and Systems Review Project, and this remains a risk.	Martha Chillingworth	Time and costs could escalate outside of agreed tolerance; the project scope to increase to the point that the project never finishes.	3	4	12	Reduce	Disciplined project team, rigorous change control.	1	4	4
016	Technology	Dynamics instance	There is a risk that a decision to enforce a single tenant within HCPC will have an impact on the project.	Guy Gaskins	Increased complexity of delivery, having subsequent impact on budget, resources, delivery scheduling.	3	5	15	Reduce	Accept the risk; this is a business level decision.	3	5	15

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
017	Technology	Dynamics instance decision	There is a risk that the consequence of choosing a single tenant will divert resource to existing Dynamics roll outs.	Guy Gaskins	Funding and resources of this project could be diverted onto existing Dynamics systems	3	5	15	Reduce	Accept the risk; this is a business level decision.	3	5	15
018	Quality	Benefit realisation	There is a risk that the core functionality of the system will be prioritised for delivery, and the channel improvements such as SMS or social media may not be realised.	Martha Chillingworth	Although the platform to deliver benefits will have been built, the channel improvements will not yet have been realised.	3	5	15	Reduce	Prioritisation within the project should consider benefits at all times.	3	5	15
019	Quality	Design quality	There is a risk that the initial design of the solution will be of a poor quality.	Guy Gaskins	Either a poor quality solution would be delivered, or significant redesign work would need to take place further into the project, adding delay.	3	5	15	Reduce	A design auditor has been requested as part of the budgetary estimates for the project.	1	5	5

Risk ID	Risk Category	Risk Name	Risk Description	Risk Owner	Probable Consequences	Likelihood	Impact	Risk Score	Countermeasure	Mitigation	Post Mitigation Likelihood	Post Mitigation Impact	Risk Score
020	Technology	Security	There is a risk that the solution will pose a data security risk to the organisation.	Guy Gaskins	The HCPC could be exposed to an unlimited fine by the Information Commissioner's Office.	3	5	15	Reduce	A security design consultant, and security testing, have been requested as part of the budgetary estimates for the project.	1	5	5
021	Quality	User experience	There is a risk that the online element of the new solution will provide users with a poor service due to usability issues.	Guy Gaskins	The benefits of going digital by default may not be achieved if significant numbers of people request paper forms.	3	5	15	Reduce	Customer experience testing and load testing have been requested as part of the budgetary estimates for the project.	1	5	5
022	Time	Phasing	There is a risk that phasing the project will cause the timeline to extend to allow time for gateway reviews.	Martha Chillingworth	Review periods between phases may be perceived as project delays.	2	5	10	Accept	Expectation management during planning, and throughout the project.	2	5	10

Appendix 6: Project Corporate Risk Register

Ref	Category	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jul 2015
1	**Governance**	Council not cognisant of project	Project Sponsor and Project Lead	5	2	10	Monitoring and approval of papers in Council	Risk register and Audit Committee	Culture	Low
2	**Customer**	Project fails to meet external "customer" expectations	Project Lead	3	2	6	Customer service feedback, including complaints, customer surveys etc	Usability testing	Utilising mainstream technology rather than cutting/bleeding edge	Low
3	**Delivery**	HCPC fail to deliver all key processes required.	Project Sponsor and Project Lead	5	2	10	ISO9001 Quality Management System	Project management expertise on big projects	Fourteen years' experience of running Registration processes under the HSWPO, and CPSM (40 years)	Low
4	**Delivery**	HCPC fail to deliver all key IT systems required.	Project Sponsor and Project Lead	5	2	10	HCPC Project Management Methodology; follows PRINCE2 philosophy	Project management expertise on big projects	Mature understanding of how to implement the HSWPO into a system; 14 years' experience	Low
5	**Delivery**	Project delayed due to external factors, such as new legal requirements imposed by government	Project Sponsor	5	3	15	Close relationship with DoH(s) and other key influencers	Communication monitoring	Phasing of the project ensures clear contractual and delivery break points	High
6	**Financial**	Financial requirements of the project restricts delivery of HCPC's day-to-day business	EMT	5	2	10	Departmental workplans	Annual budget approval process	5 year financial plan	Low

Ref	Category	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jul 2015
7	**Financial**	Financial requirements of the project restricts delivery of other projects	EMT	3	5	15	EMT	Project prioritisation process	Workplans, annual budget and 5 year financial plan	Medium
8	**Financial**	Project has a negative impact on HCPC's overall finances	EMT, Finance Director, Project Sponsor, Project Lead, Project Manager	5	2	10	Workplans, annual budget and 5 year financial plan	Cost of initial Registration system build versus HCPC turnover was a higher ratio than the estimated cost of this project versus the current turnover.	Selected solution (i.e. Microsoft Dynamics CRM) is serviced and supported by many organisations, ensuring competitive costs.	Low
9	**Financial**	Estimated budget for project too small to deliver scope, and benefits not realised	Project Sponsor, Project Lead and Project Manager	3	3	9	Phasing of the project ensures clear contractual and delivery break points	Gateway reviews allow us to procure before each phase, so can re-tender for competitive costs	Initial CPD Proof of Concept phase providing confidence in estimation process	Medium
10	**People**	Delivery of project absorbs human resources, restricting day-to-day HCPC work	Project Portfolio Manager and EMT	4	2	8	Project office planning and coordination	Workplans, annual budgets, EMT oversight	Project planned with regular go/no-go decisions within gateway reviews	Medium
11	**People**	Delivery of project absorbs human resources, restricting other projects	Project Portfolio Manager and EMT	4	2	8	Project office planning and coordination	EMT oversight	Project planned with regular go/no-go decisions within gateway reviews	Medium
12	**People**	HCPC existing employees do not have the skills with which to deliver the new services	Project Lead	4	2	8	Training	Regular project briefings at all levels	Key users are the catalysts for change	Low
13	**People**	HCPC existing employees choose to leave the organisation due to the project	Project Lead	4	2	8	Regular project briefings with end users	Key users are the catalysts for change	Internal communications, and workplan delivery	Low

Ref	Category	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jul 2015
14	**Risk**	Risks are not identified and mitigated	Project Board	5	2	10	Project Risk Register	Audit Committee	HCPC Project Management Methodology; follows PRINCE2 philosophy	Low
15	**Scope**	Project doesn't deliver full functionality required; benefits not realised	Project Board	4	3	12	Project phased approach whereby delivery is not scheduled until detailed requirements are captured	Testing against requirements catalogue to ensure all functionality is successfully delivered	HCPC Project Management Methodology; follows PRINCE2 philosophy	Medium
16	**Scope**	Project doesn't deliver required quality; benefits not realised	Project Sponsor, Project Lead and Project Manager	4	2	8	Project approach is to hire external software developers rather than recruiting developers in-house	Independent code review	COTS product guarantees a certain level of quality as a vanilla product, as opposed to coding from scratch	Low
17	**Technology**	Technology becomes rapidly obsolete	Project Lead and IT Director	4	2	8	Selection of COTS product from a market-leader https://www.microsoft.com/en-gb/dynamics/analyst-coverage-awards.aspx	Selected product is in use in regulatory environments		Low

Ref	Category	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jul 2015
18	**Technology**	Supplier decommits from maintaining the product	Project Lead and IT Director	4	2	8	Selection of COTS product from a global market-leader https://www.microsoft.com/en-gb/dynamics/analyst-coverage-awards.aspx	Selected product is in use in regulatory environments		Low
19	**Timetable**	Project timetable not delivered, benefits realised later than anticipated	Project Sponsor, Project Lead and Project Manager	5	3	15	Combination of Agile and waterfall approach to development	HCPC Project Management Methodology	Project leadership	Medium

Appendix 7 detailed costs of Option 2 (proposed option)

Costs by phase:

Capital Expenditure

Budget Item	Set Up	Phase 1	Phase 2	Phase 3	Estimated cost
P1 Design and Build consultancy - infrastructure					£X
P2 Design and Build consultancy - infrastructure					£X
P3 Design and Build consultancy - infrastructure					£X
P1 Design and Build consultancy - portal license					£X
P1 Design and Build consultancy - design work					£X
P2 Design and Build consultancy - design work					£X
P3 Design and Build consultancy - design work					£X
P1 Design and Build consultancy - portal					£X
P2 Design and Build consultancy - portal					£X
P3 Design and Build consultancy - portal					£X
P1 Design and Build consultancy - Dynamics config					£X
P2 Design and Build consultancy - Dynamics config					£X
P3 Design and Build consultancy - Dynamics config					£X
P2 Design and Build consultancy - Financial items					£X
P1 Design and Build consultancy - export from the current Registration system					£X
P1 Design and Build consultancy - import from the current Registration system to CRM					£X
P1 Design and Build consultancy - integrations with existing systems					£X

Budget Item	Set Up	Phase 1	Phase 2	Phase 3	Estimated cost
P2 Design and Build consultancy - integrations with existing systems					£X
P1 Design and Build consultancy - integrations with new systems					£X
P2 Design and Build consultancy - integrations with new systems					£X
P1 Design and Build consultancy - data migration					£X
P2 Design and Build consultancy - data migration					£X
P2 Design and Build consultancy - docs migration					£X
P1 Design and Build consultancy - reports build					£X
P2 Design and Build consultancy - reports build					£X
P1 Design and Build consultancy - train the trainer					£X
P2 Design and Build consultancy - train the trainer					£X
P3 Design and Build consultancy - train the trainer					£X
P1 Design and Build consultancy - non funcs					£X
P2 Design and Build consultancy - non funcs					£X
P3 Design and Build consultancy - non funcs					£X
Web development costs for online portal					£X
Design auditor					£X
Customer experience testing consultancy					£X
Security design					£X
Security testing					£X
Load testing					£X
Development infrastructure					£X
Test and live infrastructure					£X

Budget Item	Set Up	Phase 1	Phase 2	Phase 3	Estimated cost
Server installation costs					£X
Contingency 15%					£X
TOTAL					**£X**

Operating Expenditure

Budget Item	Set up	Phase 1	Phase 2	Phase 3	Estimated cost
Legal costs - framework agreement sign off					£X
Legal costs - support and maintenace agreement contract negotiation					£X
Legal costs - public law advice					£X
SMS service					£X
CRM subscription licensing					£X
SharePoint subscription licensing					£X
SQL subscription licensing					£X
Windows server subscription licensing					£X
Vmware					£X
Bundling software subscription licensing					£X
Rackspace					£X
Stakeholder involvement to provide input from graduates, registrants etc					£X
Registration backfill: 3x RA full time for 3.5 years					£X
Acting up allowance: 3 x RA and 3 TL for 3.5 years					£X
Finance backfill: 1x Finance officer for 3.5 years					£X
Training					£X
Training materials					£X
CRM support and maintenance					£X
Portal support and maintenance					£X

Budget Item	Set up	Phase 1	Phase 2	Phase 3	Estimated cost
Contingency 15%					£X
TOTAL					£X

Project Total	**£3,983,580**

Costs by Financial Year:

Capital Expenditure

Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
P1 Design and Build consultancy - infrastructure						£X
P2 Design and Build consultancy - infrastructure						£X
P3 Design and Build consultancy - infrastructure						£X
P1 Design and Build consultancy - portal license						£X
P1 Design and Build consultancy - design work						£X
P2 Design and Build consultancy - design work						£X
P3 Design and Build consultancy - design work						£X
P1 Design and Build consultancy - portal						£X
P2 Design and Build consultancy - portal						£X
P3 Design and Build consultancy - portal						£X
P1 Design and Build consultancy - Dynamics config						£X
P2 Design and Build consultancy - Dynamics config						£X
P3 Design and Build consultancy - Dynamics config						£X
P2 Design and Build consultancy - Financial items						£X
P1 Design and Build consultancy - export from the current Registration system						£X

Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
P1 Design and Build consultancy - import from the current Registration system to CRM						£X
P1 Design and Build consultancy - integrations with existing systems						£X
P2 Design and Build consultancy - integrations with existing systems						£X
P1 Design and Build consultancy - integrations with new systems						£X
P2 Design and Build consultancy - integrations with new systems						£X
P1 Design and Build consultancy - data migration						£X
P2 Design and Build consultancy - data migration						£X
P2 Design and Build consultancy - docs migration						£X
P1 Design and Build consultancy - reports build						£X
P2 Design and Build consultancy - reports build						£X
P1 Design and Build consultancy - train the trainer						£X
P2 Design and Build consultancy - train the trainer						£X
P3 Design and Build consultancy - train the trainer						£X
P1 Design and Build consultancy - non funcs						£X
P2 Design and Build consultancy - non funcs						£X
P3 Design and Build consultancy - non funcs						£X
Web development costs for online portal						£X
Design auditor						£X
Customer experience testing consultancy						£X
Security design						£X
Security testing						£X
Load testing						£X
Development infrastructure						£X

Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
Test and live infrastructure						£X
Server installation costs						£X
Contingency 15%						£X
TOTAL						**£X**

Operating Expenditure

Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
Legal costs - framework agreement sign off						£X
Legal costs - support and maintenace agreement contract negotiation						£X
Legal costs - public law advice						£X
SMS service						£X
CRM subscription licensing						£X
SharePoint subscription licensing						£X
SQL subscription licensing						£X
Windows server subscription licensing						£X
Vmware						£X
Bundling software subscription licensing						£X
Rackspace						£X
Stakeholder involvement to provide input from graduates, registrants etc						£X
Registration backfill: 3x RA full time for 3.5 years						£X
Acting up allowance: 3 x RA and 3 TL for 3.5 years						£X
Finance backfill: 1x Finance officer for 3.5 years						£X
Training						£X
Training materials						£X
CRM support and maintenance						£X

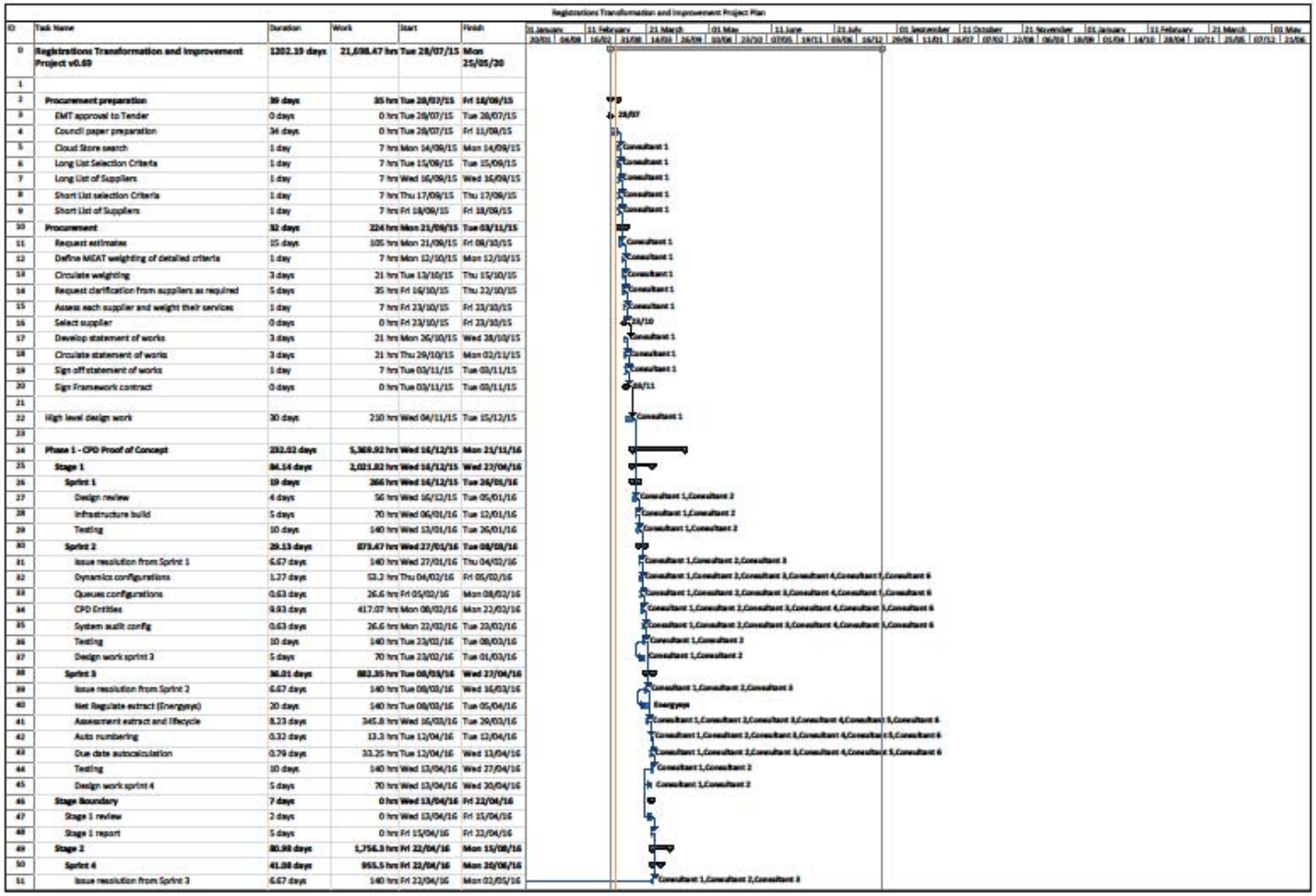
Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
Portal support and maintenance						£X
Contingency 15%						£X
TOTAL						**£X**

Project Total **£3,983,580**

Operating Expenditure - ongoing IT

Budget Item	2016/17	2017/18 and ongoing
CRM subscription licensing		
SharePoint subscription licensing		
SQL subscription licensing		
Windows server subscription licensing		
Vmware support		
Bundling software subscription licensing		
Rackspace		
SMS service		
SMS text messaging		
CRM support and maintenance		
Portal support and maintenance		
TOTAL	£X	£X

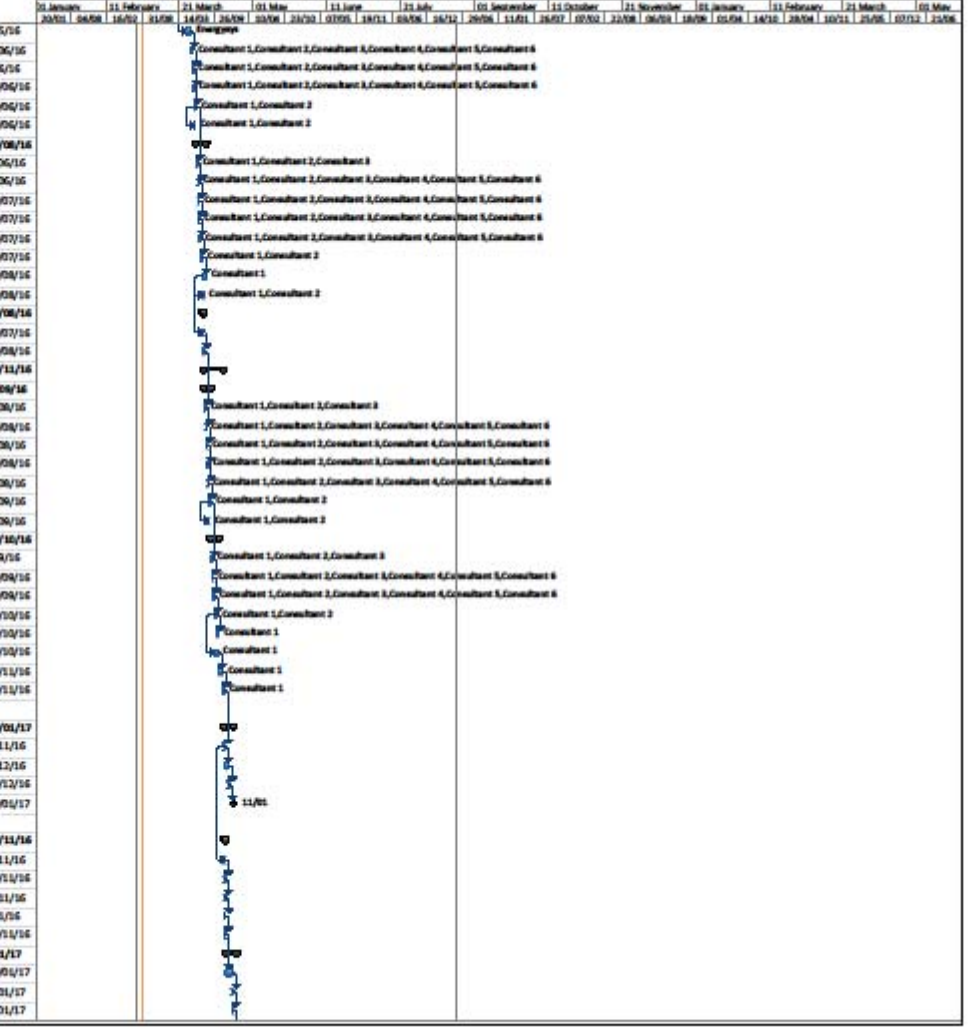
Appendix 8: Option 2 (proposed option) project plan



ID	Task Name	Duration	Work	Start	Finish
0	**Registrations Transformation and Improvement Project v0.69**	**1202.19 days**	**21,698.47 hrs**	**Tue 28/07/15**	**Mon 25/05/20**
1					
2	**Procurement preparation**	**39 days**	**35 hrs**	**Tue 28/07/15**	**Fri 18/09/15**
3	EMT approval to Tender	0 days	0 hrs	Tue 28/07/15	Tue 28/07/15
4	Council paper preparation	34 days	0 hrs	Tue 28/07/15	Fri 11/09/15
5	Cloud Store search	1 day	7 hrs	Mon 14/09/15	Mon 14/09/15
6	Long List Selection Criteria	1 day	7 hrs	Tue 15/09/15	Tue 15/09/15
7	Long List of Suppliers	1 day	7 hrs	Wed 16/09/15	Wed 16/09/15
8	Short List selection Criteria	1 day	7 hrs	Thu 17/09/15	Thu 17/09/15
9	Short List of Suppliers	1 day	7 hrs	Fri 18/09/15	Fri 18/09/15
10	**Procurement**	**32 days**	**224 hrs**	**Mon 21/09/15**	**Tue 03/11/15**
11	Request estimates	15 days	105 hrs	Mon 21/09/15	Fri 09/10/15
12	Define MEAT weighting of detailed criteria	1 day	7 hrs	Mon 12/10/15	Mon 12/10/15
13	Circulate weighting	3 days	21 hrs	Tue 13/10/15	Thu 15/10/15
14	Request clarification from suppliers as required	5 days	35 hrs	Fri 16/10/15	Thu 22/10/15
15	Assess each supplier and weight their services	1 day	7 hrs	Fri 23/10/15	Fri 23/10/15
16	Select supplier	0 days	0 hrs	Fri 23/10/15	Fri 23/10/15
17	Develop statement of works	3 days	21 hrs	Mon 26/10/15	Wed 28/10/15
18	Circulate statement of works	3 days	21 hrs	Thu 29/10/15	Mon 02/11/15
19	Sign off statement of works	1 day	7 hrs	Tue 03/11/15	Tue 03/11/15
20	Sign Framework contract	0 days	0 hrs	Tue 03/11/15	Tue 03/11/15
21					
22	High level design work	30 days	210 hrs	Wed 04/11/15	Tue 15/12/15
23					
24	**Phase 1 - CPD Proof of Concept**	**252.02 days**	**5,369.92 hrs**	**Wed 16/12/15**	**Mon 21/11/16**
25	**Stage 1**	**94.14 days**	**1,021.82 hrs**	**Wed 16/12/15**	**Wed 27/04/16**
26	**Sprint 1**	**19 days**	**266 hrs**	**Wed 16/12/15**	**Tue 26/01/16**
27	Design review	4 days	56 hrs	Wed 16/12/15	Tue 05/01/16
28	Infrastructure build	5 days	70 hrs	Wed 06/01/16	Tue 12/01/16
29	Testing	10 days	140 hrs	Wed 13/01/16	Tue 26/01/16
30	**Sprint 2**	**29.13 days**	**873.47 hrs**	**Wed 27/01/16**	**Tue 08/03/16**
31	Issue resolution from Sprint 1	6.67 days	140 hrs	Wed 27/01/16	Thu 04/02/16
32	Dynamics configurations	1.27 days	53.2 hrs	Thu 04/02/16	Fri 05/02/16
33	Queues configurations	0.63 days	26.6 hrs	Fri 05/02/16	Mon 08/02/16
34	CPD Entities	9.93 days	417.07 hrs	Mon 08/02/16	Mon 22/02/16
35	System audit config	0.63 days	26.6 hrs	Mon 22/02/16	Tue 23/02/16
36	Testing	10 days	140 hrs	Tue 23/02/16	Tue 08/03/16
37	Design work sprint 3	5 days	70 hrs	Tue 23/02/16	Tue 01/03/16
38	**Sprint 3**	**36.01 days**	**882.35 hrs**	**Tue 08/03/16**	**Wed 27/04/16**
39	Issue resolution from Sprint 2	6.67 days	140 hrs	Tue 08/03/16	Wed 16/03/16
40	Net Regulate extract (Energyas)	20 days	140 hrs	Tue 08/03/16	Tue 05/04/16
41	Assessment extract and lifecycle	8.33 days	345.8 hrs	Wed 16/03/16	Tue 29/03/16
42	Auto numbering	0.32 days	13.3 hrs	Tue 12/04/16	Tue 12/04/16
43	Due date autocalculation	0.79 days	33.25 hrs	Tue 12/04/16	Wed 13/04/16
44	Testing	10 days	140 hrs	Wed 13/04/16	Wed 27/04/16
45	Design work sprint 4	5 days	70 hrs	Wed 13/04/16	Wed 20/04/16
46	**Stage Boundary**	**7 days**	**0 hrs**	**Wed 13/04/16**	**Fri 22/04/16**
47	Stage 1 review	2 days	0 hrs	Wed 13/04/16	Fri 15/04/16
48	Stage 1 report	5 days	0 hrs	Fri 15/04/16	Fri 22/04/16
49	**Stage 2**	**80.98 days**	**1,756.3 hrs**	**Fri 22/04/16**	**Mon 15/08/16**
50	**Sprint 4**	**41.08 days**	**955.5 hrs**	**Fri 22/04/16**	**Mon 20/06/16**
51	Issue resolution from Sprint 3	6.67 days	140 hrs	Fri 22/04/16	Mon 02/05/16

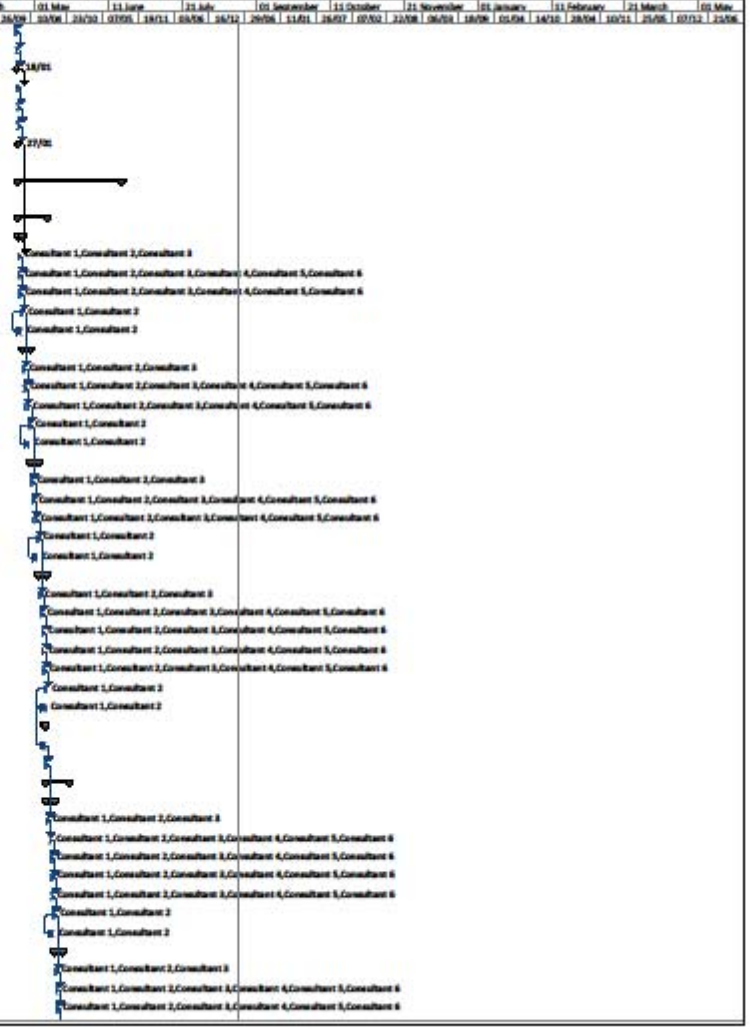
Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish
52	Net Regulate extract (Evergreyst)	20 days	140 hrs	Fri 22/04/16	Fri 20/05/16
53	Portal: registrants and assessors	9.5 days	399 hrs	Fri 20/05/16	Thu 02/06/16
54	Sign up/sign in for portal	0.95 days	39.9 hrs	Thu 02/06/16	Fri 03/06/16
55	Access permissions	0.63 days	26.6 hrs	Fri 03/06/16	Mon 06/06/16
56	Testing	10 days	140 hrs	Mon 06/06/16	Mon 20/06/16
57	Design work sprint 5	5 days	70 hrs	Mon 06/06/16	Mon 13/06/16
58	**Sprint 5**	**39.9 days**	**800.8 hrs**	**Mon 20/06/16**	**Mon 15/08/16**
59	Issue resolution from Sprint 4	6.67 days	140 hrs	Mon 20/06/16	Tue 28/06/16
60	Portal CPD clock	1.27 days	53.2 hrs	Tue 28/06/16	Thu 30/06/16
61	Portal branding	2.22 days	93.1 hrs	Thu 30/06/16	Mon 04/07/16
62	Creation of PDF	2.53 days	106.4 hrs	Mon 04/07/16	Wed 06/07/16
63	CPD audit timeline	2.22 days	93.1 hrs	Wed 06/07/16	Mon 11/07/16
64	Testing	10 days	140 hrs	Mon 11/07/16	Mon 25/07/16
65	Customer experience testing (external)	15 days	105 hrs	Mon 25/07/16	Mon 15/08/16
66	Design work sprint 6	5 days	70 hrs	Mon 25/07/16	Mon 01/08/16
67	**Stage Boundary**	**7 days**	**0 hrs**	**Mon 25/07/16**	**Wed 03/08/16**
68	Stage 2 review	2 days	0 hrs	Mon 25/07/16	Wed 27/07/16
69	Stage 2 report	5 days	0 hrs	Wed 27/07/16	Wed 03/08/16
70	**Stage 3**	**72.9 days**	**1,156.8 hrs**	**Wed 03/08/16**	**Mon 14/11/16**
71	**Sprint 6**	**26.17 days**	**749 hrs**	**Wed 03/08/16**	**Thu 08/09/16**
72	Issue resolution from Sprint 5	6.67 days	140 hrs	Wed 03/08/16	Thu 11/08/16
73	Email and letter templates	1.58 days	66.5 hrs	Thu 11/08/16	Mon 15/08/16
74	Integration with SharePoint	3.17 days	133 hrs	Mon 15/08/16	Thu 18/08/16
75	Integration with SMS	1.58 days	66.5 hrs	Thu 18/08/16	Mon 22/08/16
76	Import from Net Regulate	3.17 days	133 hrs	Mon 22/08/16	Thu 25/08/16
77	Testing	10 days	140 hrs	Thu 25/08/16	Thu 08/09/16
78	Design work sprint 7	5 days	70 hrs	Thu 25/08/16	Thu 01/09/16
79	**Sprint 7**	**31.73 days**	**562.8 hrs**	**Thu 08/09/16**	**Mon 24/10/16**
80	Issue resolution from Sprint 6	6.67 days	140 hrs	Thu 08/09/16	Fri 16/09/16
81	Data migration	2.53 days	106.4 hrs	Fri 16/09/16	Wed 21/09/16
82	Reports creation	2.53 days	106.4 hrs	Wed 21/09/16	Mon 26/09/16
83	Testing	10 days	140 hrs	Mon 26/09/16	Mon 10/10/16
84	Load testing (external)	10 days	70 hrs	Mon 10/10/16	Mon 24/10/16
85	Training	15 days	105 hrs	Mon 26/09/16	Mon 17/10/16
86	End to end testing	20 days	140 hrs	Mon 17/10/16	Mon 14/11/16
87	Go-live	5 days	35 hrs	Mon 14/11/16	Mon 21/11/16
88					
89	**Gateway Review**	**25 days**	**0 hrs**	**Mon 21/11/16**	**Wed 11/01/17**
90	Review workshop	1 day	0 hrs	Mon 21/11/16	Tue 22/11/16
91	Write review document	15 days	0 hrs	Tue 22/11/16	Tue 13/12/16
92	Submit to EMT	1 day	0 hrs	Tue 13/12/16	Wed 14/12/16
93	EMT approval next phase	0 days	0 hrs	Wed 11/01/17	Wed 11/01/17
94					
95	**Procurement preparation**	**5 days**	**0 hrs**	**Mon 21/11/16**	**Mon 28/11/16**
96	Cloud Store search	1 day	0 hrs	Mon 21/11/16	Tue 22/11/16
97	Long List Selection Criteria	1 day	0 hrs	Tue 22/11/16	Wed 23/11/16
98	Long List of Suppliers	1 day	0 hrs	Wed 23/11/16	Thu 24/11/16
99	Short List selection Criteria	1 day	0 hrs	Thu 24/11/16	Fri 25/11/16
100	Short List of Suppliers	1 day	0 hrs	Fri 25/11/16	Mon 28/11/16
101	**Procurement**	**32 days**	**0 hrs**	**Mon 28/11/16**	**Fri 27/01/17**
102	Request estimates	15 days	0 hrs	Mon 28/11/16	Wed 04/01/17
103	Define MEAT weighting of detailed criteria	1 day	0 hrs	Wed 04/01/17	Thu 05/01/17
104	Circulate weighting	3 days	0 hrs	Thu 05/01/17	Tue 10/01/17



Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish
105	Request clarification from suppliers as required	5 days	0 hrs	Tue 10/01/17	Tue 17/01/17
106	Assess each supplier and weight their services	1 day	0 hrs	Tue 17/01/17	Wed 18/01/17
107	Select supplier	0 days	0 hrs	Wed 18/01/17	Wed 18/01/17
108	Develop statement of works	3 days	0 hrs	Wed 18/01/17	Mon 23/01/17
109	Circulate statement of works	3 days	0 hrs	Mon 23/01/17	Thu 26/01/17
110	Sign off statement of works	1 day	0 hrs	Thu 26/01/17	Fri 27/01/17
111	Sign Framework contract	0 days	0 hrs	Fri 27/01/17	Fri 27/01/17
112					
113	**Phase 2 - Replacement of Net Regulate and Online Renewals**	**396.91 days**	**11,479.65 hrs**	**Fri 27/01/17**	**Wed 22/08/18**
114	**Stage 1**	**111.13 days**	**3,344.6 hrs**	**Fri 27/01/17**	**Mon 03/07/17**
115	**Sprint 1**	**16.17 days**	**406 hrs**	**Fri 27/01/17**	**Mon 20/02/17**
116	Design review	3 days	63 hrs	Fri 27/01/17	Wed 01/02/17
117	Access permissions	1.27 days	53.2 hrs	Wed 01/02/17	Thu 02/02/17
118	System audit config	1.9 days	79.8 hrs	Thu 02/02/17	Mon 06/02/17
119	Testing	10 days	140 hrs	Mon 06/02/17	Mon 20/02/17
120	Design work sprint 2	5 days	70 hrs	Mon 06/02/17	Mon 13/02/17
121	**Sprint 2**	**30.6 days**	**935.2 hrs**	**Mon 20/02/17**	**Mon 03/04/17**
122	Issue resolution from Sprint 1	6.67 days	140 hrs	Mon 20/02/17	Tue 28/02/17
123	Dynamics configurations	1.27 days	53.2 hrs	Tue 28/02/17	Thu 02/03/17
124	Applications x10	12.67 days	532 hrs	Thu 02/03/17	Mon 20/03/17
125	Testing	10 days	140 hrs	Mon 20/03/17	Mon 03/04/17
126	Design work sprint 3	5 days	70 hrs	Mon 20/03/17	Mon 27/03/17
127	**Sprint 3**	**31.33 days**	**966 hrs**	**Mon 03/04/17**	**Wed 17/05/17**
128	Issue resolution from Sprint 2	6.67 days	140 hrs	Mon 03/04/17	Wed 12/04/17
129	Other forms	6.33 days	266 hrs	Wed 12/04/17	Thu 20/04/17
130	Business logic for applications x5	8.33 days	350 hrs	Thu 20/04/17	Wed 03/05/17
131	Testing	10 days	140 hrs	Wed 03/05/17	Wed 17/05/17
132	Design work sprint 4	5 days	70 hrs	Wed 03/05/17	Wed 10/05/17
133	**Sprint 4**	**33.03 days**	**1,037.4 hrs**	**Wed 17/05/17**	**Mon 03/07/17**
134	Issue resolution from Sprint 3	6.67 days	140 hrs	Wed 17/05/17	Thu 25/05/17
135	Business logic for applications x5	7.5 days	315 hrs	Thu 25/05/17	Tue 06/06/17
136	Creation of PDF	5.07 days	212.8 hrs	Tue 06/06/17	Tue 13/06/17
137	Auto numbering	0.63 days	26.6 hrs	Tue 13/06/17	Tue 13/06/17
138	Reg status and hand-offs	3.17 days	133 hrs	Tue 13/06/17	Mon 19/06/17
139	Testing	10 days	140 hrs	Mon 19/06/17	Mon 03/07/17
140	Design work sprint 5	5 days	70 hrs	Mon 19/06/17	Mon 26/06/17
141	**Stage Boundary**	**7 days**	**0 hrs**	**Mon 19/06/17**	**Wed 28/06/17**
142	Stage 1 review	2 days	0 hrs	Mon 19/06/17	Wed 21/06/17
143	Stage 1 report	5 days	0 hrs	Wed 21/06/17	Wed 28/06/17
144	**Stage 2**	**93.41 days**	**2,453.15 hrs**	**Wed 28/06/17**	**Mon 06/11/17**
145	**Sprint 5**	**34.74 days**	**689.15 hrs**	**Wed 28/06/17**	**Tue 15/08/17**
146	Issue resolution from Sprint 4	6.67 days	140 hrs	Wed 28/06/17	Thu 06/07/17
147	Due date autocalculation	2.38 days	99.75 hrs	Thu 20/07/17	Tue 25/07/17
148	Watchlist	3.17 days	133 hrs	Tue 25/07/17	Fri 28/07/17
149	CPD randomised selection tool	0.95 days	39.9 hrs	Fri 28/07/17	Mon 31/07/17
150	App processing quality check x10	1.58 days	66.5 hrs	Mon 31/07/17	Tue 01/08/17
151	Testing	10 days	140 hrs	Tue 01/08/17	Tue 15/08/17
152	Design work sprint 6	5 days	70 hrs	Tue 01/08/17	Tue 08/08/17
153	**Sprint 6**	**31.23 days**	**961.8 hrs**	**Tue 15/08/17**	**Thu 28/09/17**
154	Issue resolution from Sprint 5	6.67 days	140 hrs	Tue 15/08/17	Thu 24/08/17
155	Invoicing	2.22 days	93.1 hrs	Thu 24/08/17	Mon 28/08/17
156	DD mandate	0.95 days	39.9 hrs	Mon 28/08/17	Tue 29/08/17

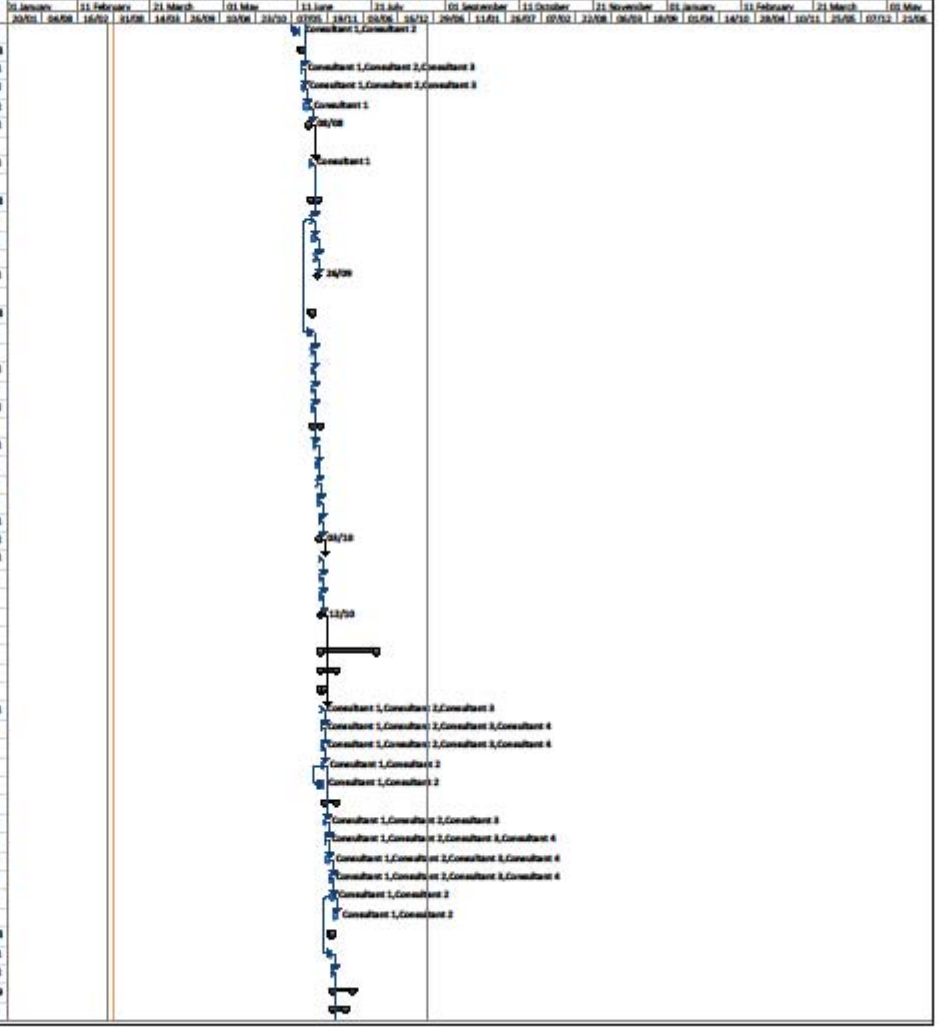


Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish
157	DD collection	4.75 days	199.5 hrs	Tue 29/08/17	Tue 05/09/17
158	Debt and missed payment	4.75 days	199.5 hrs	Tue 05/09/17	Tue 12/09/17
159	Card payment	0.32 days	13.3 hrs	Tue 12/09/17	Tue 12/09/17
160	Financial balance	1.58 days	66.5 hrs	Tue 12/09/17	Thu 14/09/17
161	Testing	10 days	140 hrs	Thu 14/09/17	Thu 28/09/17
162	Design work sprint 7	5 days	70 hrs	Thu 14/09/17	Thu 21/09/17
163	**Sprint 7**	**27.43 days**	**861.2 hrs**	**Thu 28/09/17**	**Mon 06/11/17**
164	Issue resolution from Sprint 6	6.67 days	140 hrs	Thu 28/09/17	Fri 06/10/17
165	Registrant renewal portal	6.33 days	266 hrs	Fri 06/10/17	Tue 17/10/17
166	Sign up/sign in additional authentication for portal	0.95 days	39.9 hrs	Tue 17/10/17	Wed 18/10/17
167	Branding	0.95 days	39.9 hrs	Wed 18/10/17	Thu 19/10/17
168	Email and letter templates	1.58 days	66.5 hrs	Thu 19/10/17	Fri 20/10/17
169	Queues configurations	0.95 days	39.9 hrs	Fri 20/10/17	Mon 23/10/17
170	Testing	10 days	140 hrs	Mon 23/10/17	Mon 06/11/17
171	Design work sprint 8	5 days	70 hrs	Mon 23/10/17	Mon 30/10/17
172	**Stage Boundary**	**7 days**	**0 hrs**	**Mon 23/10/17**	**Wed 01/11/17**
173	Stage 2 review	2 days	0 hrs	Mon 23/10/17	Wed 25/10/17
174	Stage 2 report	5 days	0 hrs	Wed 25/10/17	Wed 01/11/17
175	**Stage 3**	**77.48 days**	**2,435.3 hrs**	**Wed 01/11/17**	**Wed 07/03/18**
176	**Sprint 8**	**34.4 days**	**1,094.8 hrs**	**Wed 01/11/17**	**Thu 04/01/18**
177	Issue resolution from Sprint 7	6.67 days	140 hrs	Wed 01/11/17	Fri 10/11/17
178	Integration with SharePoint	3.17 days	133 hrs	Fri 10/11/17	Wed 15/11/17
179	Integration with PAF	1.58 days	66.5 hrs	Wed 15/11/17	Thu 16/11/17
180	Integration with Semafone	4.75 days	199.5 hrs	Thu 16/11/17	Thu 23/11/17
181	Integration with WorldPay	2.22 days	93.1 hrs	Thu 23/11/17	Mon 27/11/17
182	Integration with Albany BACS	3.17 days	133 hrs	Mon 27/11/17	Fri 01/12/17
183	Integration with SMS	0.63 days	26.6 hrs	Fri 01/12/17	Fri 01/12/17
184	Integration with Dotmailer	2.22 days	93.1 hrs	Fri 01/12/17	Tue 05/12/17
185	Testing	10 days	140 hrs	Tue 05/12/17	Thu 04/01/18
186	Design work sprint 9	5 days	70 hrs	Tue 05/12/17	Tue 12/12/17
187	**Sprint 9**	**43.08 days**	**1,340.5 hrs**	**Thu 04/01/18**	**Wed 07/03/18**
188	Issue resolution from Sprint 8	6.67 days	140 hrs	Thu 04/01/18	Mon 15/01/18
189	Integration with Sage	6.33 days	266 hrs	Mon 15/01/18	Tue 23/01/18
190	Integration with Bank account number validation	3.17 days	133 hrs	Tue 23/01/18	Mon 29/01/18
191	Integration with Mitel telephony	4.75 days	199.5 hrs	Mon 29/01/18	Fri 02/02/18
192	Integration with scanning/OCR	7.92 days	332.5 hrs	Fri 02/02/18	Wed 14/02/18
193	Testing	14.25 days	199.5 hrs	Wed 14/02/18	Wed 07/03/18
194	Design work sprint 10	5 days	70 hrs	Wed 14/02/18	Wed 21/02/18
195	**Stage boundary**	**7 days**	**0 hrs**	**Wed 14/02/18**	**Fri 23/02/18**
196	Stage 3 review	2 days	0 hrs	Wed 14/02/18	Fri 16/02/18
197	Stage 3 report	5 days	0 hrs	Fri 16/02/18	Fri 23/02/18
198	**Stage 4**	**118.13 days**	**3,176.6 hrs**	**Fri 23/02/18**	**Wed 08/08/18**
199	**Sprint 10**	**36.3 days**	**1,174.6 hrs**	**Fri 23/02/18**	**Tue 17/04/18**
200	Issue resolution from Sprint 9	6.67 days	140 hrs	Fri 23/02/18	Tue 06/03/18
201	Create reports	10.13 days	425.6 hrs	Tue 06/03/18	Tue 20/03/18
202	Document migration	9.5 days	399 hrs	Tue 20/03/18	Tue 03/04/18
203	Testing	10 days	140 hrs	Tue 03/04/18	Tue 17/04/18
204	Design work sprint 11	5 days	70 hrs	Tue 03/04/18	Tue 10/04/18
205	**Sprint 11**	**50.17 days**	**1,617 hrs**	**Tue 17/04/18**	**Tue 26/06/18**
206	Issue resolution from Sprint 10	6.67 days	140 hrs	Tue 17/04/18	Wed 25/04/18
207	Migrate core entities	28.5 days	1,197 hrs	Wed 25/04/18	Tue 05/06/18
208	Load testing (external)	5 days	70 hrs	Tue 05/06/18	Tue 12/06/18
209	Testing	10 days	140 hrs	Tue 12/06/18	Tue 26/06/18

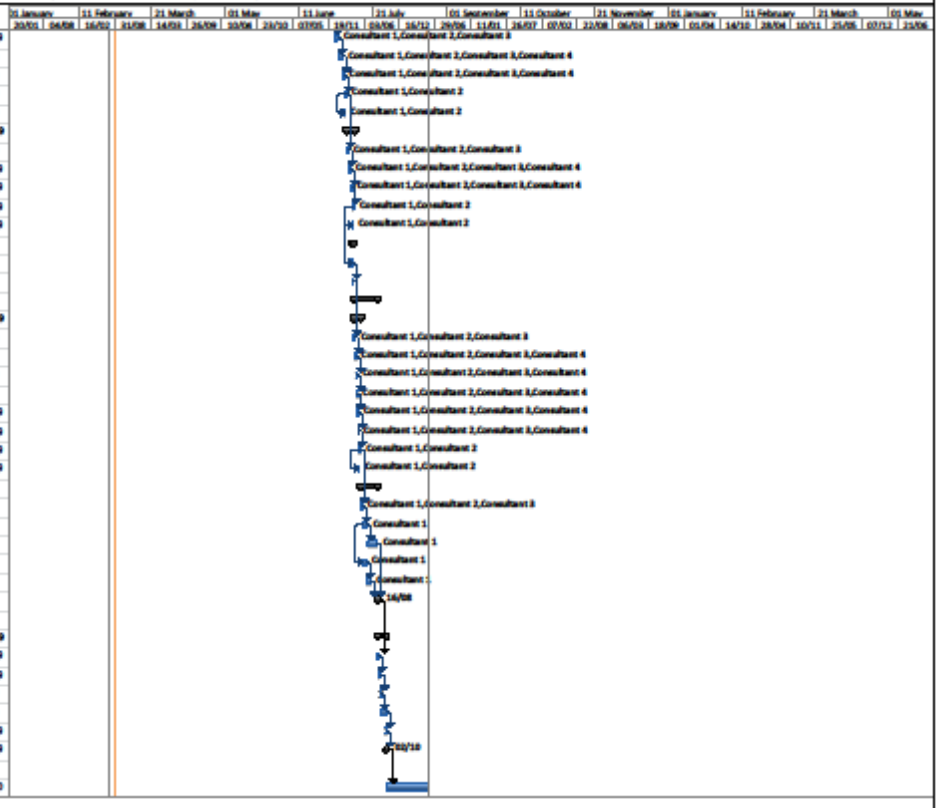
Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish
210	Design work sprint 12	5 days	70 hrs	Tue 12/06/18	Tue 19/06/18
211	**Sprint 12**	**6.67 days**	**140 hrs**	**Tue 26/06/18**	**Wed 04/07/18**
212	Issue resolution from Sprint 11	6.67 days	140 hrs	Tue 26/06/18	Wed 04/07/18
213	Training	5 days	105 hrs	Wed 04/07/18	Wed 11/07/18
214	End to end testing	20 days	140 hrs	Wed 11/07/18	Wed 08/08/18
215	Go live	0 days	0 hrs	Wed 08/08/18	Wed 08/08/18
216					
217	Decomission Net Regulate	10 days	70 hrs	Wed 08/08/18	Wed 22/08/18
218					
219	**Gateway Review**	**25 days**	**0 hrs**	**Wed 22/08/18**	**Wed 26/09/18**
220	Review workshop	1 day	0 hrs	Wed 22/08/18	Thu 23/08/18
221	Write review document	15 days	0 hrs	Thu 23/08/18	Thu 13/09/18
222	Submit to EMT	1 day	0 hrs	Thu 13/09/18	Fri 14/09/18
223	EMT approval next phase	0 days	0 hrs	Wed 26/09/18	Wed 26/09/18
224					
225	**Procurement preparation**	**5 days**	**0 hrs**	**Wed 22/08/18**	**Wed 29/08/18**
226	Cloud Store search	1 day	0 hrs	Wed 22/08/18	Thu 23/08/18
227	Long List Selection Criteria	1 day	0 hrs	Thu 23/08/18	Fri 24/08/18
228	Long List of Suppliers	1 day	0 hrs	Fri 24/08/18	Mon 27/08/18
229	Short List selection Criteria	1 day	0 hrs	Mon 27/08/18	Tue 28/08/18
230	Short List of Suppliers	1 day	0 hrs	Tue 28/08/18	Wed 29/08/18
231	**Procurement**	**32 days**	**0 hrs**	**Wed 29/08/18**	**Fri 12/10/18**
232	Request estimates	15 days	0 hrs	Wed 29/08/18	Wed 19/09/18
233	Define MEAT weighting of detailed criteria	1 day	0 hrs	Wed 19/09/18	Thu 20/09/18
234	Circulate weighting	3 days	0 hrs	Thu 20/09/18	Tue 25/09/18
235	Request clarification from suppliers as required	5 days	0 hrs	Tue 25/09/18	Tue 02/10/18
236	Assess each supplier and weight their services	1 day	0 hrs	Tue 02/10/18	Wed 03/10/18
237	Select supplier	0 days	0 hrs	Wed 03/10/18	Wed 03/10/18
238	Develop statement of works	3 days	0 hrs	Wed 03/10/18	Mon 08/10/18
239	Circulate statement of works	3 days	0 hrs	Mon 08/10/18	Thu 11/10/18
240	Sign off statement of works	1 day	0 hrs	Thu 11/10/18	Fri 12/10/18
241	Sign Framework contract	0 days	0 hrs	Fri 12/10/18	Fri 12/10/18
242					
243	**Phase 3 - Online Applications**	**208.26 days**	**4,376.9 hrs**	**Fri 12/10/18**	**Fri 16/08/19**
244	**Stage 1**	**53.19 days**	**1,141.7 hrs**	**Fri 12/10/18**	**Fri 11/01/19**
245	**Sprint 1**	**14.43 days**	**312.9 hrs**	**Fri 12/10/18**	**Fri 02/11/18**
246	Design review	3 days	63 hrs	Fri 12/10/18	Wed 17/10/18
247	Access permissions	0.48 days	13.3 hrs	Wed 17/10/18	Thu 18/10/18
248	System audit config	0.95 days	26.6 hrs	Thu 18/10/18	Fri 19/10/18
249	Testing	10 days	140 hrs	Fri 19/10/18	Fri 02/11/18
250	Design work sprint 2	5 days	70 hrs	Fri 19/10/18	Fri 26/10/18
251	**Sprint 2**	**38.77 days**	**828.8 hrs**	**Fri 02/11/18**	**Fri 11/01/19**
252	Issue resolution from Sprint 1	6.67 days	140 hrs	Fri 02/11/18	Tue 13/11/18
253	Dynamics configurations	0.95 days	26.6 hrs	Tue 13/11/18	Tue 13/11/18
254	Applications x10 online	14.25 days	399 hrs	Tue 13/11/18	Tue 04/12/18
255	Creation of PDF	1.9 days	53.2 hrs	Tue 04/12/18	Thu 06/12/18
256	Testing	10 days	140 hrs	Thu 06/12/18	Thu 20/12/18
257	Design work sprint 3	5 days	70 hrs	Thu 20/12/18	Fri 11/01/19
258	**Stage boundary**	**7 days**	**0 hrs**	**Thu 06/12/18**	**Mon 17/12/18**
259	Stage 1 review	2 days	0 hrs	Thu 06/12/18	Mon 10/12/18
260	Stage 1 report	5 days	0 hrs	Mon 10/12/18	Mon 17/12/18
261	**Stage 2**	**71.33 days**	**1,764 hrs**	**Mon 17/12/18**	**Wed 10/04/19**
262	**Sprint 3**	**40.42 days**	**1,015 hrs**	**Mon 17/12/18**	**Tue 26/02/19**



Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish
263	Issue resolution from Sprint 2	6.67 days	140 hrs	Mon 17/12/18	Wed 09/01/19
264	Portal: registrants and applicants	19 days	532 hrs	Wed 09/01/19	Tue 05/02/19
265	Branding	4.75 days	133 hrs	Tue 05/02/19	Tue 12/02/19
266	Testing	10 days	140 hrs	Tue 12/02/19	Tue 26/02/19
267	Design work sprint 4	5 days	70 hrs	Tue 12/02/19	Tue 19/02/19
268	**Sprint 4**	**30.92 days**	**749 hrs**	**Tue 26/02/19**	**Wed 10/04/19**
269	Issue resolution from Sprint 3	6.67 days	140 hrs	Tue 26/02/19	Thu 07/03/19
270	Dialogs (per app type) x10	9.5 days	266 hrs	Thu 07/03/19	Wed 20/03/19
271	SLA clock	4.75 days	133 hrs	Wed 20/03/19	Wed 27/03/19
272	Testing	10 days	140 hrs	Wed 27/03/19	Wed 10/04/19
273	Design work sprint 5	5 days	70 hrs	Wed 27/03/19	Wed 03/04/19
274	**Stage boundary**	**7 days**	**0 hrs**	**Wed 27/03/19**	**Fri 05/04/19**
275	Stage 2 review	2 days	0 hrs	Wed 27/03/19	Fri 29/03/19
276	Stage 2 report	5 days	0 hrs	Fri 29/03/19	Fri 05/04/19
277	**Stage 3**	**94.73 days**	**1,474.2 hrs**	**Fri 05/04/19**	**Fri 16/08/19**
278	**Sprint 5**	**28.07 days**	**668.2 hrs**	**Fri 05/04/19**	**Wed 15/05/19**
279	Issue resolution from Sprint 4	6.67 days	140 hrs	Fri 05/04/19	Tue 16/04/19
280	Progress bar on portal	3.33 days	93.1 hrs	Tue 16/04/19	Fri 19/04/19
281	Cloning of application	3.8 days	106.4 hrs	Fri 19/04/19	Thu 25/04/19
282	Sample-check flagging	1.43 days	39.9 hrs	Thu 25/04/19	Fri 26/04/19
283	Email and letter templates	2.38 days	66.5 hrs	Fri 26/04/19	Wed 01/05/19
284	Queues configurations	0.48 days	13.3 hrs	Wed 01/05/19	Wed 01/05/19
285	Testing	10 days	140 hrs	Wed 01/05/19	Wed 15/05/19
286	Design work sprint 6	5 days	70 hrs	Wed 01/05/19	Wed 08/05/19
287	**Sprint 6**	**66.67 days**	**960 hrs**	**Wed 15/05/19**	**Fri 16/08/19**
288	Issue resolution from Sprint 5	6.67 days	140 hrs	Wed 15/05/19	Fri 24/05/19
289	Load testing (external)	20 days	140 hrs	Fri 24/05/19	Fri 21/06/19
290	Customer experience testing (external)	40 days	280 hrs	Fri 21/06/19	Fri 16/08/19
291	Training	15 days	105 hrs	Fri 24/05/19	Fri 14/06/19
292	End to end testing	20 days	140 hrs	Fri 14/06/19	Fri 12/07/19
293	Go-live	0 days	0 hrs	Fri 16/08/19	Fri 16/08/19
294					
295	**Project closure**	**33 days**	**0 hrs**	**Fri 16/08/19**	**Wed 02/10/19**
296	Lessons Learnt Meeting takes place	1 day	0 hrs	Fri 16/08/19	Mon 19/08/19
297	Post Project Review Plan drafted	10 days	0 hrs	Mon 19/08/19	Mon 02/09/19
298	Post Project Review Plan signed off	1 day	0 hrs	Mon 02/09/19	Tue 03/09/19
299	End Project Report drafted	20 days	0 hrs	Tue 03/09/19	Tue 01/10/19
300	End Project Report signed off	1 day	0 hrs	Tue 01/10/19	Wed 02/10/19
301	Project Files Archived	0 days	0 hrs	Wed 02/10/19	Wed 02/10/19
302					
303	Contingency - 15%	157 days	0 hrs	Wed 02/10/19	Mon 25/05/20



Appendix 9: Detailed Costs of Option 4 (in-house development)

Costs per phase:

Capital Expenditure

Budget Item	Set Up	Phase 1	Phase 2	Phase 3	Estimated cost
Staffing costs					£X
Web development costs for online portal					£X
Design auditor					£X
Customer experience testing consultancy					£X
Security design					£X
Security testing					£X
Load testing					£X
Development infrastructure					£X
Test and live infrastructure					£X
Server installation costs					£X
Contingency 15%					£X
TOTAL					**£X**

Operating Expenditure

Budget Item	Set up	Phase 1	Phase 2	Phase 3	Estimated cost
Legal costs - framework agreement sign off					£X
Legal costs - support and maintenance agreement contract negotiation					£X
Legal costs - public law advice					£X
Desks and IT hardware					£X
Visual Studio subscription licensing					£X

Budget Item	Set up	Phase 1	Phase 2	Phase 3	Estimated cost
SMS service					£X
CRM subscription licensing					£X
SharePoint subscription licensing					£X
SQL subscription licensing					£X
Windows server subscription licensing					£X
Vmware					£X
Bundling software subscription licensing					£X
Rackspace					£X
Stakeholder involvement to provide input from graduates, registrants etc					£X
Registration backfill: 3x RA full time for 3.5 years					£X
Acting up allowance: 3 x RA and 3 TL for 3.5 years					£X
Finance backfill: 1x Finance officer for 3.5 years					£X
Training					£X
Training materials					£X
CRM support and maintenance					£X
Portal support and maintenace					£X
Contingency 15%					£X
TOTAL					£X

Project Total	**£X**

Costs per Financial Year:

Capital Expenditure

Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
Staffing costs						£X
Web development costs for online portal						£X
Design auditor						£X
Customer experience testing consultancy						£X
Security design						£X
Security testing						£X
Load testing						£X
Development infrastructure						£X
Test and live infrastructure						£X
Server installation costs						£X
Contingency 15%						£X
TOTAL						**£X**

Operating Expenditure

Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
Legal costs - framework agreement sign off						£X
Legal costs - support and maintenace agreement contract negotiation						£X
Legal costs - public law advice						£X
Desks and IT hardware						£X
Visual Studio subscription licensing						£X
SMS service						£X
CRM subscription licensing						£X

Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
SharePoint subscription licensing						£X
SQL subscription licensing						£X
Windows server subscription licensing						£X
Vmware						£X
Bundling software subscription licensing						£X
Rackspace						£X
Stakeholder involvement to provide input from graduates, registrants etc						£X
Registration backfill: 3x RA full time for 3.5 years						£X
Acting up allowance: 3 x RA and 3 TL for 3.5 years						£X
Finance backfill: 1x Finance officer for 3.5 years						£X
Training						£X
Training materials						£X
CRM support and maintenance						£X
Portal support and maintenance						£X
Contingency 15%						£X
TOTAL						**£X**

Project Total

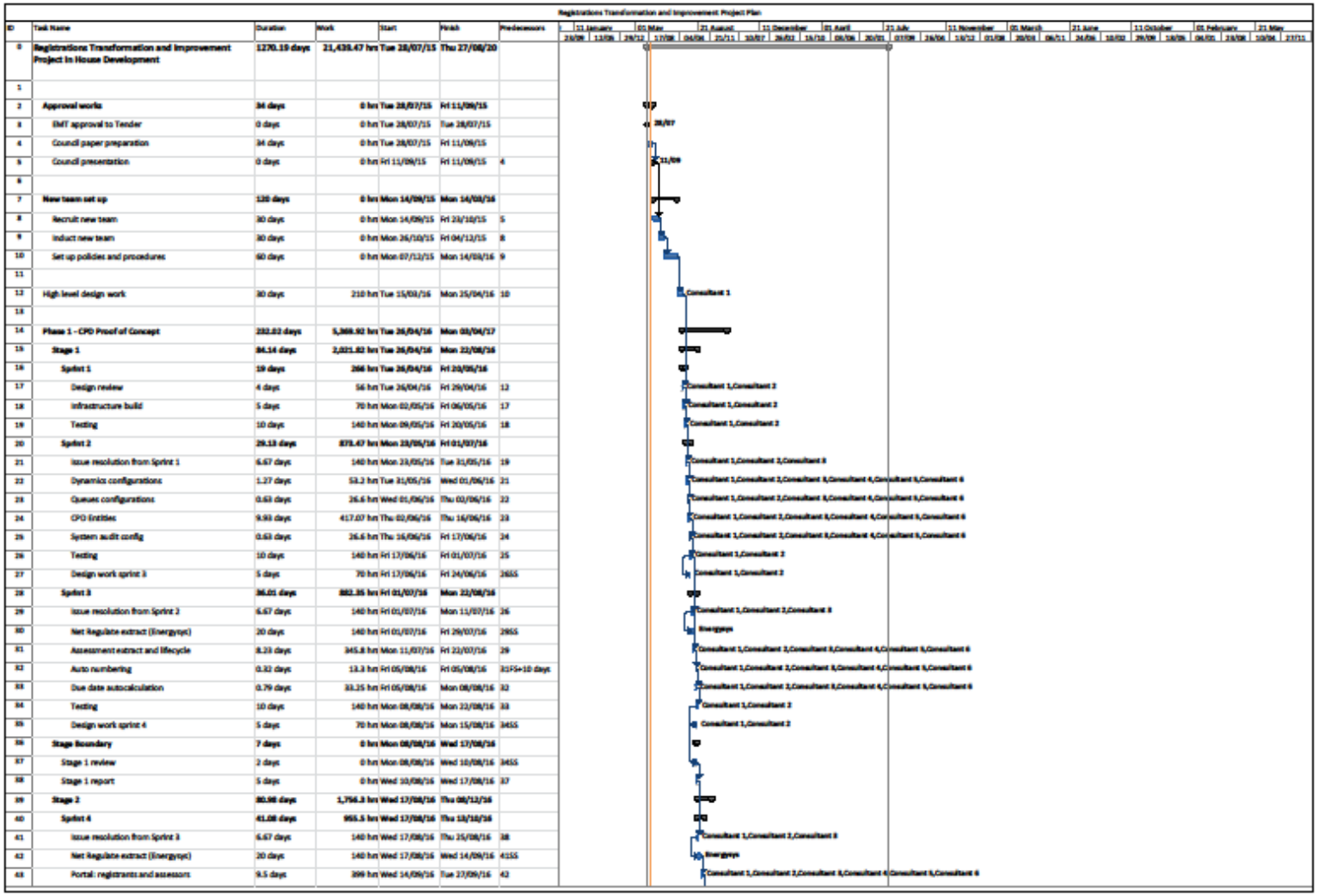
£X

Operating Expenditure - ongoing IT

Budget Item	2016/17	2017/18 and ongoing
Visual Studio subscription licensing		

Budget Item	2015/16	2016/17	2017/18	2018/19	2019/20	Estimated cost
CRM subscription licensing						
SharePoint subscription licensing						
SQL subscription licensing						
Windows server subscription licensing						
Vmware support						
Bundling software subscription licensing						
Rackspace						
SMS service						
SMS text messaging						
CRM support and maintenance						
Portal support and maintenace						
TOTAL	£X	£X				

Appendix 10: Option 4 (in-house development) project plan



Registrations Transformation and Improvement Project Plan

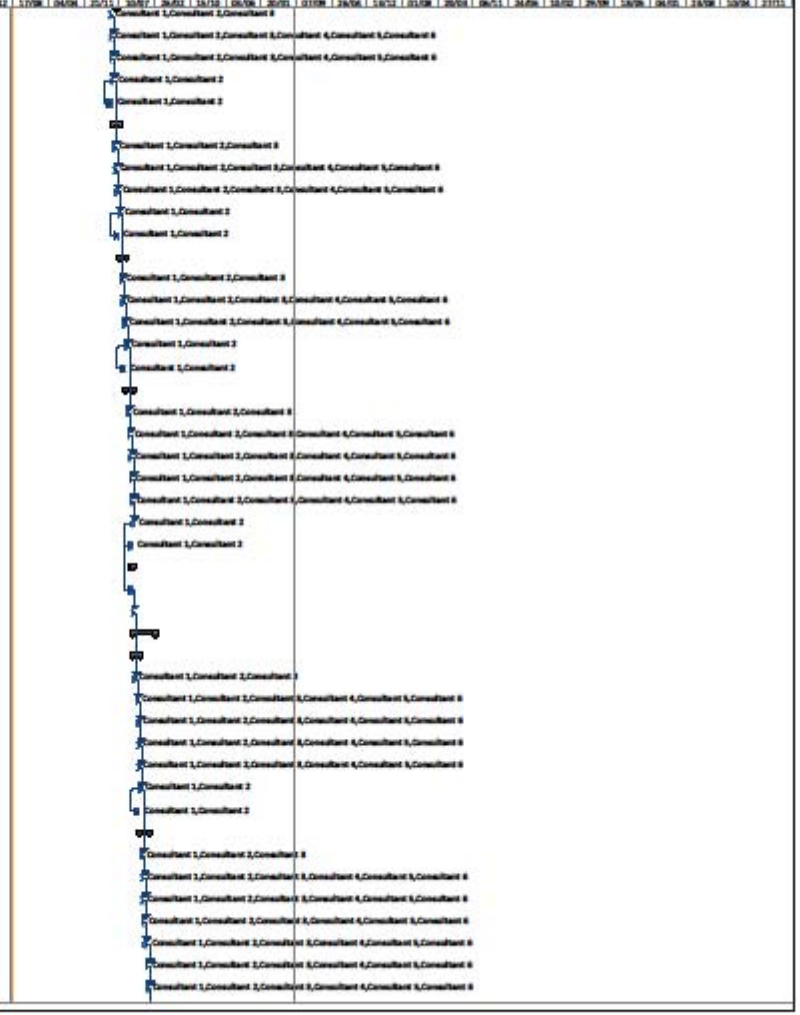
ID	Task Name	Duration	Work	Start	Finish	Predecessors
0	**Registrations Transformation and Improvement Project In House Development**	**1270.19 days**	**21,438.47 hrs**	**Tue 28/07/15**	**Thu 27/08/20**	
1						
2	**Approval works**	**84 days**	**0 hrs**	**Tue 28/07/15**	**Fri 11/09/15**	
3	EMT approval to Tender	0 days	0 hrs	Tue 28/07/15	Tue 28/07/15	
4	Council paper preparation	84 days	0 hrs	Tue 28/07/15	Fri 11/09/15	
5	Council presentation	0 days	0 hrs	Fri 11/09/15	Fri 11/09/15	4
6						
7	**New team set up**	**120 days**	**0 hrs**	**Mon 14/09/15**	**Mon 14/03/16**	
8	Recruit new team	30 days	0 hrs	Mon 14/09/15	Fri 23/10/15	5
9	Induct new team	30 days	0 hrs	Mon 26/10/15	Fri 04/12/15	8
10	Set up policies and procedures	60 days	0 hrs	Mon 07/12/15	Mon 14/03/16	9
11						
12	High level design work	30 days	210 hrs	Tue 15/03/16	Mon 25/04/16	10
13						
14	**Phase 1 - CPD Proof of Concept**	**232.02 days**	**5,369.92 hrs**	**Tue 26/04/16**	**Mon 03/04/17**	
15	**Stage 1**	**84.14 days**	**2,021.82 hrs**	**Tue 26/04/16**	**Mon 22/08/16**	
16	**Sprint 1**	**19 days**	**266 hrs**	**Tue 26/04/16**	**Fri 20/05/16**	
17	Design review	4 days	56 hrs	Tue 26/04/16	Fri 29/04/16	12
18	Infrastructure build	5 days	70 hrs	Mon 02/05/16	Fri 06/05/16	17
19	Testing	10 days	140 hrs	Mon 09/05/16	Fri 20/05/16	18
20	**Sprint 2**	**29.13 days**	**873.47 hrs**	**Mon 23/05/16**	**Fri 01/07/16**	
21	Issue resolution from Sprint 1	6.67 days	140 hrs	Mon 23/05/16	Tue 31/05/16	19
22	Dynamics configurations	1.27 days	53.2 hrs	Tue 31/05/16	Wed 01/06/16	21
23	Queues configurations	0.63 days	26.6 hrs	Wed 01/06/16	Thu 02/06/16	22
24	CPD Entities	9.93 days	417.07 hrs	Thu 02/06/16	Thu 16/06/16	23
25	System audit config	0.63 days	26.6 hrs	Thu 16/06/16	Fri 17/06/16	24
26	Testing	10 days	140 hrs	Fri 17/06/16	Fri 01/07/16	25
27	Design work sprint 3	5 days	70 hrs	Fri 17/06/16	Fri 24/06/16	26SS
28	**Sprint 3**	**36.01 days**	**882.35 hrs**	**Fri 01/07/16**	**Mon 22/08/16**	
29	Issue resolution from Sprint 2	6.67 days	140 hrs	Fri 01/07/16	Mon 11/07/16	26
30	Net Regulare extract (Energyoyc)	20 days	140 hrs	Fri 01/07/16	Fri 29/07/16	29SS
31	Assessment extract and lifecycle	8.23 days	345.8 hrs	Mon 11/07/16	Fri 22/07/16	29
32	Auto numbering	0.32 days	13.3 hrs	Fri 05/08/16	Fri 05/08/16	31FS+10 days
33	Due date autocalculation	0.79 days	33.25 hrs	Fri 05/08/16	Mon 08/08/16	32
34	Testing	10 days	140 hrs	Mon 08/08/16	Mon 22/08/16	33
35	Design work sprint 4	5 days	70 hrs	Mon 08/08/16	Mon 15/08/16	34SS
36	**Stage Boundary**	**7 days**	**0 hrs**	**Mon 08/08/16**	**Wed 17/08/16**	
37	Stage 1 review	2 days	0 hrs	Mon 08/08/16	Wed 10/08/16	34SS
38	Stage 1 report	5 days	0 hrs	Wed 10/08/16	Wed 17/08/16	37
39	**Stage 2**	**80.98 days**	**1,756.3 hrs**	**Wed 17/08/16**	**Thu 08/12/16**	
40	**Sprint 4**	**41.08 days**	**955.5 hrs**	**Wed 17/08/16**	**Thu 13/10/16**	
41	Issue resolution from Sprint 3	6.67 days	140 hrs	Wed 17/08/16	Thu 25/08/16	38
42	Net Regulare extract (Energyoyc)	20 days	140 hrs	Wed 17/08/16	Wed 14/09/16	41SS
43	Portal: registrants and assessors	9.5 days	399 hrs	Wed 14/09/16	Tue 27/09/16	42

Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish	Predecessors
44	Sign up/sign in for portal	0.95 days	38.9 hrs	Tue 27/09/16	Wed 28/09/16	43
45	Access permissions	0.83 days	26.6 hrs	Wed 28/09/16	Thu 29/09/16	44
46	Testing	10 days	140 hrs	Thu 29/09/16	Thu 13/10/16	45
47	Design work sprint 5	5 days	70 hrs	Thu 29/09/16	Thu 06/10/16	46SS
48	**Sprint 5**	**39.9 days**	**800.8 hrs**	**Thu 13/10/16**	**Thu 08/12/16**	
49	Issue resolution from Sprint 4	6.67 days	140 hrs	Thu 13/10/16	Fri 21/10/16	46
50	Portal CPD clock	1.27 days	53.2 hrs	Fri 21/10/16	Tue 25/10/16	49
51	Portal branding	2.22 days	93.1 hrs	Tue 25/10/16	Thu 27/10/16	50
52	Creation of PDF	2.53 days	106.4 hrs	Thu 27/10/16	Mon 31/10/16	51
53	CPD audit timeline	2.22 days	93.1 hrs	Mon 31/10/16	Thu 03/11/16	52
54	Testing	10 days	140 hrs	Thu 03/11/16	Thu 17/11/16	53
55	Customer experience testing (external)	15 days	105 hrs	Thu 17/11/16	Thu 08/12/16	54
56	Design work sprint 6	5 days	70 hrs	Thu 17/11/16	Thu 24/11/16	55SS
57	**Stage Boundary**	**7 days**	**0 hrs**	**Thu 17/11/16**	**Mon 28/11/16**	
58	Stage 2 review	2 days	0 hrs	Thu 17/11/16	Mon 21/11/16	55SS
59	Stage 2 report	5 days	0 hrs	Mon 21/11/16	Mon 28/11/16	58
60	**Stage 3**	**72.9 days**	**1,556.8 hrs**	**Mon 28/11/16**	**Mon 27/03/17**	
61	**Sprint 6**	**26.17 days**	**749 hrs**	**Mon 28/11/16**	**Thu 19/01/17**	
62	Issue resolution from Sprint 5	6.67 days	140 hrs	Mon 28/11/16	Tue 06/12/16	59
63	Email and letter templates	1.58 days	66.5 hrs	Tue 06/12/16	Thu 08/12/16	62
64	Integration with SharePoint	3.17 days	133 hrs	Thu 08/12/16	Tue 13/12/16	63
65	Integration with SMS	1.58 days	66.5 hrs	Tue 13/12/16	Thu 15/12/16	64
66	Import from Net Regulate	3.17 days	133 hrs	Thu 15/12/16	Thu 05/01/17	65
67	Testing	10 days	140 hrs	Thu 05/01/17	Thu 19/01/17	66
68	Design work sprint 7	5 days	70 hrs	Thu 05/01/17	Thu 12/01/17	67SS
69	**Sprint 7**	**31.73 days**	**582.8 hrs**	**Thu 19/01/17**	**Mon 06/03/17**	
70	Issue resolution from Sprint 6	6.67 days	140 hrs	Thu 19/01/17	Fri 27/01/17	67
71	Data migration	2.53 days	106.4 hrs	Fri 27/01/17	Wed 01/02/17	70
72	Reports creation	2.53 days	106.4 hrs	Wed 01/02/17	Mon 06/02/17	71
73	Testing	10 days	140 hrs	Mon 06/02/17	Mon 20/02/17	72
74	Load testing (external)	10 days	70 hrs	Mon 20/02/17	Mon 06/03/17	73
75	Training	15 days	105 hrs	Mon 06/02/17	Mon 27/02/17	73SS
76	End to end testing	20 days	140 hrs	Mon 27/02/17	Mon 27/03/17	75
77	Go-live	5 days	35 hrs	Mon 27/03/17	Mon 03/04/17	76
78						
79	**Gateway Review**	**25 days**	**0 hrs**	**Mon 03/04/17**	**Mon 08/05/17**	
80	Review workshop	1 day	0 hrs	Mon 03/04/17	Tue 04/04/17	77
81	Write review document	15 days	0 hrs	Tue 04/04/17	Tue 25/04/17	80
82	Submit to EMT	1 day	0 hrs	Tue 25/04/17	Wed 26/04/17	81
83	EMT approval next phase	0 days	0 hrs	Mon 08/05/17	Mon 08/05/17	82FS+8 days
84						
85	**Phase 2 - Replacement of Net Regulate and Online Renewals**	**396.91 days**	**11,479.65 hrs**	**Mon 08/05/17**	**Thu 29/11/18**	
86	**Stage 1**	**111.13 days**	**3,344.8 hrs**	**Mon 08/05/17**	**Tue 10/10/17**	
87	Sprint 1	16.17 days	606 hrs	Mon 08/05/17	Tue 30/05/17	

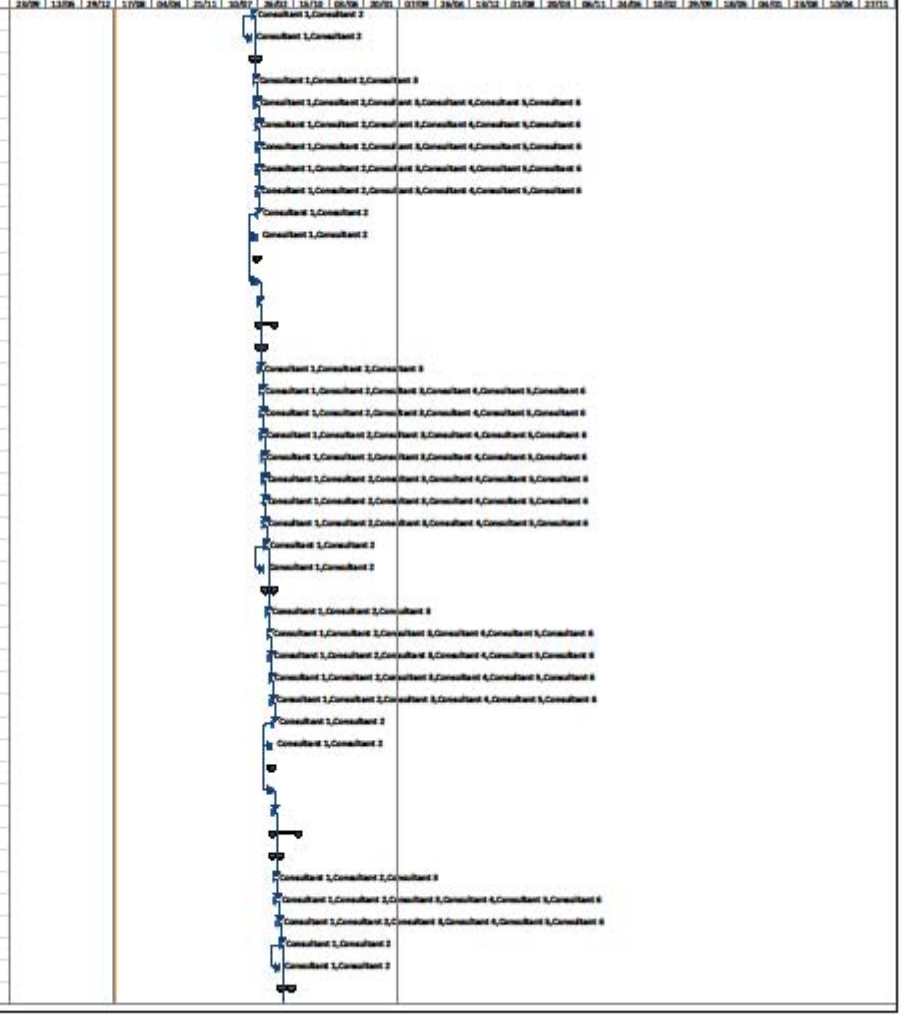
Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish	Predecessors
88	Design review	1 days	63 hrs	Mon 08/05/17	Thu 11/05/17	83
89	Access permissions	1.27 days	53.2 hrs	Thu 11/05/17	Fri 12/05/17	88
90	System audit config	1.9 days	79.8 hrs	Fri 12/05/17	Tue 16/05/17	89
91	Testing	10 days	140 hrs	Tue 16/05/17	Tue 30/05/17	90
92	Design work sprint 2	5 days	70 hrs	Tue 16/05/17	Tue 23/05/17	91SS
93	**Sprint 2**	**30.6 days**	**985.2 hrs**	**Tue 30/05/17**	**Tue 11/07/17**	
94	Issue resolution from Sprint 1	6.67 days	140 hrs	Tue 30/05/17	Wed 07/06/17	91
95	Dynamics configurations	1.27 days	53.2 hrs	Wed 07/06/17	Fri 09/06/17	94
96	Applications x10	12.67 days	532 hrs	Fri 09/06/17	Tue 27/06/17	95
97	Testing	10 days	140 hrs	Tue 27/06/17	Tue 11/07/17	96
98	Design work sprint 3	5 days	70 hrs	Tue 27/06/17	Tue 04/07/17	97SS
99	**Sprint 3**	**31.33 days**	**966 hrs**	**Tue 11/07/17**	**Thu 24/08/17**	
100	Issue resolution from Sprint 2	6.67 days	140 hrs	Tue 11/07/17	Thu 20/07/17	97
101	Other forms	6.33 days	266 hrs	Thu 20/07/17	Fri 28/07/17	100
102	Business logic for applications x5	8.33 days	350 hrs	Fri 28/07/17	Thu 10/08/17	101
103	Testing	10 days	140 hrs	Thu 10/08/17	Thu 24/08/17	102
104	Design work sprint 4	5 days	70 hrs	Thu 10/08/17	Thu 17/08/17	103SS
105	**Sprint 4**	**33.03 days**	**1,087.4 hrs**	**Thu 24/08/17**	**Tue 10/10/17**	
106	Issue resolution from Sprint 3	6.67 days	140 hrs	Thu 24/08/17	Fri 01/09/17	103
107	Business logic for applications x5	7.5 days	315 hrs	Fri 01/09/17	Wed 13/09/17	106
108	Creation of PDF	5.07 days	212.8 hrs	Wed 13/09/17	Wed 20/09/17	107
109	Auto numbering	0.63 days	26.6 hrs	Wed 20/09/17	Wed 20/09/17	108
110	Reg status and hand-offs	3.17 days	133 hrs	Wed 20/09/17	Tue 26/09/17	109
111	Testing	10 days	140 hrs	Tue 26/09/17	Tue 10/10/17	110
112	Design work sprint 5	5 days	70 hrs	Tue 26/09/17	Tue 03/10/17	111SS
113	**Stage Boundary**	**7 days**	**0 hrs**	**Tue 26/09/17**	**Thu 05/10/17**	
114	Stage 1 review	2 days	0 hrs	Tue 26/09/17	Thu 28/09/17	111SS
115	Stage 1 report	5 days	0 hrs	Thu 28/09/17	Thu 05/10/17	114
116	**Stage 2**	**93.41 days**	**2,453.15 hrs**	**Thu 05/10/17**	**Thu 01/03/18**	
117	**Sprint 5**	**34.74 days**	**689.15 hrs**	**Thu 05/10/17**	**Wed 22/11/17**	
118	Issue resolution from Sprint 4	6.67 days	140 hrs	Thu 05/10/17	Fri 13/10/17	115
119	Due date autocalculation	2.38 days	99.75 hrs	Fri 27/10/17	Wed 01/11/17	118FS+10 days
120	Watchlist	3.17 days	133 hrs	Wed 01/11/17	Mon 06/11/17	119
121	CPD randomised selection tool	0.95 days	38.9 hrs	Mon 06/11/17	Tue 07/11/17	120
122	App processing quality check x10	1.58 days	66.5 hrs	Tue 07/11/17	Wed 08/11/17	121
123	Testing	10 days	140 hrs	Wed 08/11/17	Wed 22/11/17	122
124	Design work sprint 6	5 days	70 hrs	Wed 08/11/17	Wed 15/11/17	123SS
125	**Sprint 6**	**31.23 days**	**961.8 hrs**	**Wed 22/11/17**	**Tue 23/01/18**	
126	Issue resolution from Sprint 5	6.67 days	140 hrs	Wed 22/11/17	Fri 01/12/17	123
127	Invoicing	2.22 days	93.1 hrs	Fri 01/12/17	Tue 05/12/17	126
128	DD mandate	0.95 days	38.9 hrs	Tue 05/12/17	Wed 06/12/17	127
129	DD collection	4.75 days	196.5 hrs	Wed 06/12/17	Wed 13/12/17	128
130	Debt and missed payment	4.75 days	196.5 hrs	Wed 13/12/17	Fri 05/01/18	129
131	Card payment	0.32 days	13.3 hrs	Fri 05/01/18	Fri 05/01/18	130
132	Financial balance	1.58 days	66.5 hrs	Fri 05/01/18	Tue 09/01/18	131



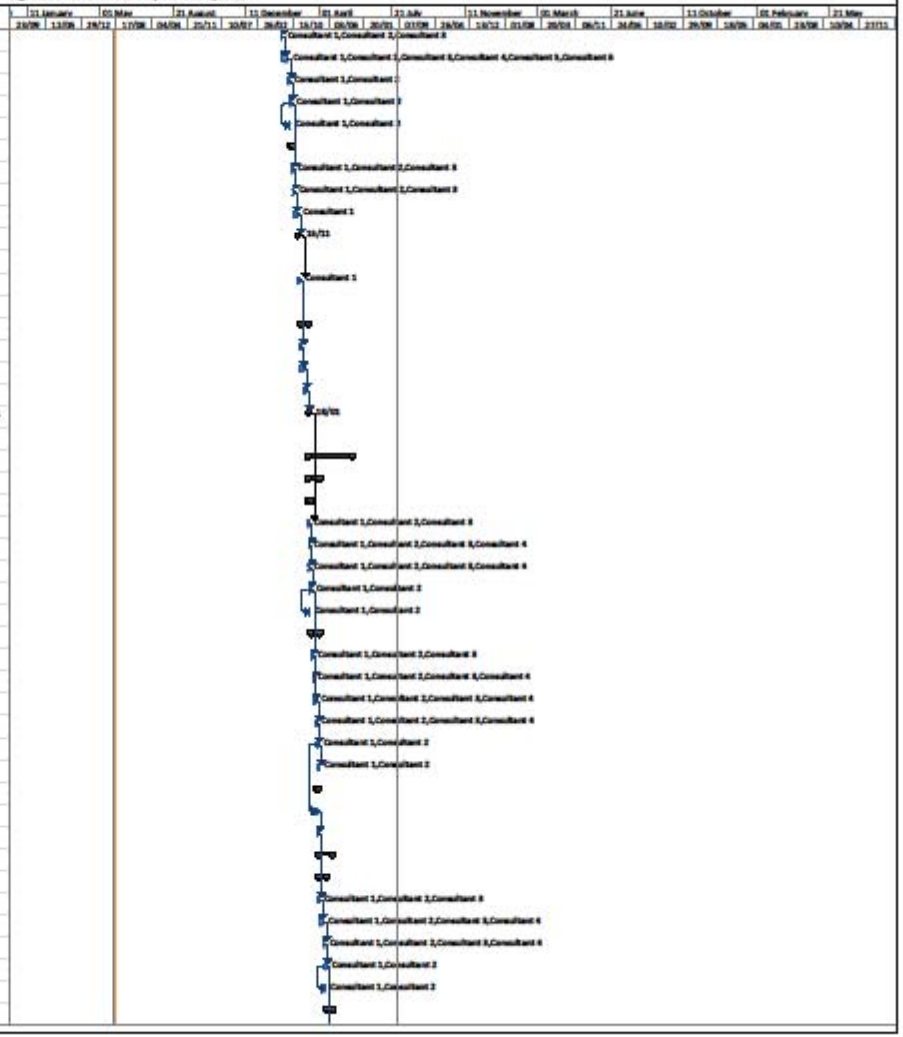
Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish	Predecessors
133	Testing	10 days	140 hrs	Tue 09/01/18	Tue 23/01/18	132
134	Design work sprint 7	5 days	70 hrs	Tue 09/01/18	Tue 16/01/18	13355
135	**Sprint 7**	**27.48 days**	**802.2 hrs**	**Tue 23/01/18**	**Thu 01/03/18**	
136	Issue resolution from Sprint 6	6.67 days	140 hrs	Tue 23/01/18	Wed 31/01/18	133
137	Registrant renewal portal	6.33 days	266 hrs	Wed 31/01/18	Fri 09/02/18	136
138	Sign up/sign in additional authentication for ports	0.95 days	39.9 hrs	Fri 09/02/18	Mon 12/02/18	137
139	Branding	0.95 days	39.9 hrs	Mon 12/02/18	Tue 13/02/18	138
140	Email and letter templates	1.58 days	66.5 hrs	Tue 13/02/18	Wed 14/02/18	139
141	Queues configurations	0.95 days	39.9 hrs	Wed 14/02/18	Thu 15/02/18	140
142	Testing	10 days	140 hrs	Thu 15/02/18	Thu 01/03/18	141
143	Design work sprint 8	5 days	70 hrs	Thu 15/02/18	Thu 22/02/18	14255
144	**Stage Boundary**	**7 days**	**0 hrs**	**Thu 15/02/18**	**Mon 26/02/18**	
145	Stage 2 review	2 days	0 hrs	Thu 15/02/18	Mon 19/02/18	14255
146	Stage 2 report	5 days	0 hrs	Mon 19/02/18	Mon 26/02/18	145
147	**Stage 3**	**77.48 days**	**2,435.3 hrs**	**Mon 26/02/18**	**Thu 14/06/18**	
148	**Sprint 8**	**34.4 days**	**1,094.8 hrs**	**Mon 26/02/18**	**Fri 13/04/18**	
149	Issue resolution from Sprint 7	6.67 days	140 hrs	Mon 26/02/18	Wed 07/03/18	146
150	Integration with SharePoint	3.17 days	133 hrs	Wed 07/03/18	Mon 12/03/18	149
151	Integration with PAF	1.58 days	66.5 hrs	Mon 12/03/18	Tue 13/03/18	150
152	Integration with Servatone	4.75 days	199.5 hrs	Tue 13/03/18	Tue 20/03/18	151
153	Integration with WorldPay	2.22 days	93.1 hrs	Tue 20/03/18	Thu 22/03/18	152
154	Integration with Albany BACS	3.17 days	133 hrs	Thu 22/03/18	Wed 28/03/18	153
155	Integration with SMS	0.63 days	26.6 hrs	Wed 28/03/18	Wed 28/03/18	154
156	Integration with Dotmailer	2.22 days	93.1 hrs	Wed 28/03/18	Fri 30/03/18	155
157	Testing	10 days	140 hrs	Fri 30/03/18	Fri 13/04/18	156
158	Design work sprint 9	5 days	70 hrs	Fri 30/03/18	Fri 06/04/18	15755
159	**Sprint 9**	**43.08 days**	**1,340.5 hrs**	**Fri 13/04/18**	**Thu 14/06/18**	
160	Issue resolution from Sprint 8	6.67 days	140 hrs	Fri 13/04/18	Tue 24/04/18	157
161	Integration with Sage	6.33 days	266 hrs	Tue 24/04/18	Wed 02/05/18	160
162	Integration with Bank account number validation	3.17 days	133 hrs	Wed 02/05/18	Tue 08/05/18	161
163	Integration with Mitel telephony	4.75 days	199.5 hrs	Tue 08/05/18	Mon 14/05/18	162
164	Integration with scanning/OCR	7.92 days	332.5 hrs	Mon 14/05/18	Thu 24/05/18	163
165	Testing	14.25 days	199.5 hrs	Thu 24/05/18	Thu 14/06/18	164
166	Design work sprint 10	5 days	70 hrs	Thu 24/05/18	Thu 31/05/18	16555
167	**Stage boundary**	**7 days**	**0 hrs**	**Thu 24/05/18**	**Mon 04/06/18**	
168	Stage 3 review	2 days	0 hrs	Thu 24/05/18	Mon 28/05/18	16555
169	Stage 3 report	5 days	0 hrs	Mon 28/05/18	Mon 04/06/18	168
170	**Stage 4**	**118.13 days**	**3,176.8 hrs**	**Mon 04/06/18**	**Thu 15/11/18**	
171	**Sprint 10**	**36.3 days**	**1,174.4 hrs**	**Mon 04/06/18**	**Wed 25/07/18**	
172	Issue resolution from Sprint 9	6.67 days	140 hrs	Mon 04/06/18	Wed 13/06/18	169
173	Create reports	10.13 days	425.6 hrs	Wed 13/06/18	Wed 27/06/18	172
174	Document migration	9.5 days	399 hrs	Wed 27/06/18	Wed 11/07/18	173
175	Testing	10 days	140 hrs	Wed 11/07/18	Wed 25/07/18	174
176	Design work sprint 11	5 days	70 hrs	Wed 11/07/18	Wed 18/07/18	17555
177	**Sprint 11**	**50.17 days**	**1,817 hrs**	**Wed 25/07/18**	**Wed 03/10/18**	



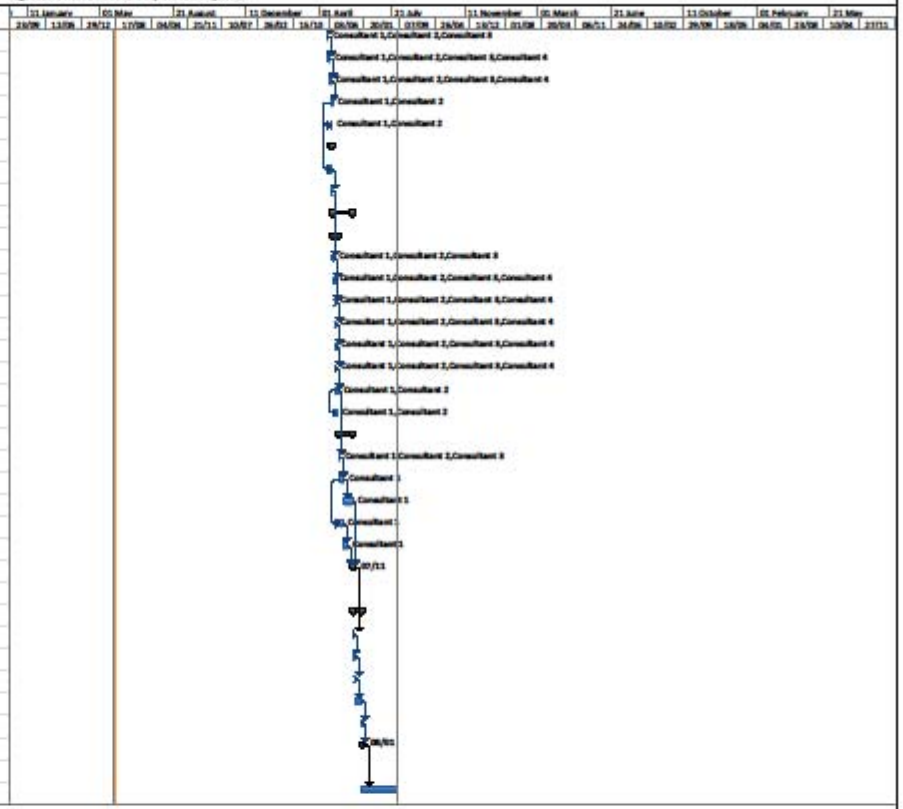
Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish	Predecessors
178	Issue resolution from Sprint 10	6.67 days	140 hrs	Wed 25/07/18	Thu 02/08/18	175
179	Migrate core entities	28.5 days	1,197 hrs	Thu 02/08/18	Wed 12/09/18	178
180	Load testing (external)	5 days	70 hrs	Wed 12/09/18	Wed 19/09/18	179
181	Testing	10 days	140 hrs	Wed 19/09/18	Wed 03/10/18	180
182	Design work sprint 12	5 days	70 hrs	Wed 19/09/18	Wed 26/09/18	181SS
183	**Sprint 12**	**6.67 days**	**140 hrs**	**Wed 03/10/18**	**Thu 11/10/18**	
184	Issue resolution from Sprint 11	6.67 days	140 hrs	Wed 03/10/18	Thu 11/10/18	181
185	Training	5 days	105 hrs	Thu 11/10/18	Thu 18/10/18	184
186	End to end testing	20 days	140 hrs	Thu 18/10/18	Thu 15/11/18	185
187	Go live	0 days	0 hrs	Thu 15/11/18	Thu 15/11/18	186
188						
189	Decomission Net Regulate	10 days	70 hrs	Thu 15/11/18	Thu 29/11/18	187
190						
191	**Gateway Review**	**25 days**	**0 hrs**	**Thu 29/11/18**	**Fri 18/01/19**	
192	Review workshop	1 day	0 hrs	Thu 29/11/18	Fri 30/11/18	189
193	Write review document	15 days	0 hrs	Fri 30/11/18	Fri 21/12/18	192
194	Submit to EMT	1 day	0 hrs	Fri 21/12/18	Tue 08/01/19	193
195	EMT approval next phase	0 days	0 hrs	Fri 18/01/19	Fri 18/01/19	194FS+8 days
196						
197	**Phase 2 – Online Applications**	**208.24 days**	**4,579.9 hrs**	**Fri 18/01/19**	**Thu 07/11/19**	
198	**Stage 1**	**58.19 days**	**1,141.7 hrs**	**Fri 18/01/19**	**Thu 04/04/19**	
199	**Sprint 1**	**14.48 days**	**312.9 hrs**	**Fri 18/01/19**	**Fri 08/02/19**	
200	Design review	3 days	63 hrs	Fri 18/01/19	Wed 23/01/19	195
201	Access permissions	0.48 days	13.3 hrs	Wed 23/01/19	Thu 24/01/19	200
202	System audit config	0.95 days	26.6 hrs	Thu 24/01/19	Fri 25/01/19	201
203	Testing	10 days	140 hrs	Fri 25/01/19	Fri 08/02/19	202
204	Design work sprint 2	5 days	70 hrs	Fri 25/01/19	Fri 01/02/19	203SS
205	**Sprint 2**	**38.77 days**	**828.8 hrs**	**Fri 08/02/19**	**Thu 04/04/19**	
206	Issue resolution from Sprint 1	6.67 days	140 hrs	Fri 08/02/19	Tue 19/02/19	203
207	Dynamics configurations	0.95 days	26.6 hrs	Tue 19/02/19	Tue 19/02/19	206
208	Applications x10 online	14.25 days	399 hrs	Tue 19/02/19	Tue 12/03/19	207
209	Creation of PDF	1.9 days	53.2 hrs	Tue 12/03/19	Thu 14/03/19	208
210	Testing	10 days	140 hrs	Thu 14/03/19	Thu 28/03/19	209
211	Design work sprint 3	5 days	70 hrs	Thu 28/03/19	Thu 04/04/19	210
212	**Stage boundary**	**7 days**	**0 hrs**	**Thu 14/03/19**	**Mon 25/03/19**	
213	Stage 1 review	2 days	0 hrs	Thu 14/03/19	Mon 18/03/19	210SS
214	Stage 1 report	5 days	0 hrs	Mon 18/03/19	Mon 25/03/19	213
215	**Stage 2**	**71.33 days**	**1,764 hrs**	**Mon 25/03/19**	**Tue 02/07/19**	
216	**Sprint 3**	**40.42 days**	**1,015 hrs**	**Mon 25/03/19**	**Mon 20/05/19**	
217	Issue resolution from Sprint 2	6.67 days	140 hrs	Mon 25/03/19	Tue 02/04/19	214
218	Portal: registrants and applicants	19 days	532 hrs	Tue 02/04/19	Mon 29/04/19	217
219	Branding	4.75 days	133 hrs	Mon 29/04/19	Mon 06/05/19	218
220	Testing	10 days	140 hrs	Mon 06/05/19	Mon 20/05/19	219
221	Design work sprint 4	5 days	70 hrs	Mon 06/05/19	Mon 13/05/19	220SS
222	**Sprint 4**	**30.92 days**	**749 hrs**	**Mon 20/05/19**	**Tue 02/07/19**	



Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish	Predecessors
223	Issue resolution from Sprint 3	6.67 days	140 hrs	Mon 20/05/19	Wed 29/05/19	220
224	Dialogs (per app type) x10	9.5 days	266 hrs	Wed 29/05/19	Tue 11/06/19	223
225	SLA clock	4.75 days	133 hrs	Tue 11/06/19	Tue 18/06/19	224
226	Testing	10 days	140 hrs	Tue 18/06/19	Tue 02/07/19	225
227	Design work sprint 5	5 days	70 hrs	Tue 18/06/19	Tue 25/06/19	226SS
228	**Stage boundary**	**7 days**	**0 hrs**	**Tue 18/06/19**	**Thu 27/06/19**	
229	Stage 2 review	2 days	0 hrs	Tue 18/06/19	Thu 20/06/19	226SS
230	Stage 2 report	5 days	0 hrs	Thu 20/06/19	Thu 27/06/19	229
231	**Stage 3**	**94.79 days**	**1,474.2 hrs**	**Thu 27/06/19**	**Thu 07/11/19**	
232	**Sprint 5**	**28.07 days**	**669.2 hrs**	**Thu 27/06/19**	**Tue 06/08/19**	
233	Issue resolution from Sprint 4	6.67 days	140 hrs	Thu 27/06/19	Mon 08/07/19	230
234	Progress bar on portal	3.33 days	93.1 hrs	Mon 08/07/19	Thu 11/07/19	233
235	Cloning of application	3.8 days	106.4 hrs	Thu 11/07/19	Wed 17/07/19	234
236	Sample-check flagging	1.43 days	39.9 hrs	Wed 17/07/19	Thu 18/07/19	235
237	Email and letter templates	2.38 days	66.5 hrs	Thu 18/07/19	Tue 23/07/19	236
238	Queuec configurations	0.48 days	13.3 hrs	Tue 23/07/19	Tue 23/07/19	237
239	Testing	10 days	140 hrs	Tue 23/07/19	Tue 06/08/19	238
240	Design work sprint 6	5 days	70 hrs	Tue 23/07/19	Tue 30/07/19	239SS
241	**Sprint 6**	**66.67 days**	**560 hrs**	**Tue 06/08/19**	**Thu 07/11/19**	
242	Issue resolution from Sprint 5	6.67 days	140 hrs	Tue 06/08/19	Thu 15/08/19	239
243	Load testing (external)	20 days	140 hrs	Thu 15/08/19	Thu 12/09/19	242
244	Customer experience testing (external)	40 days	280 hrs	Thu 12/09/19	Thu 07/11/19	243
245	Training	15 days	105 hrs	Thu 15/08/19	Thu 05/09/19	243SS
246	End to end testing	20 days	140 hrs	Thu 05/09/19	Thu 03/10/19	245
247	Go-live	0 days	0 hrs	Thu 07/11/19	Thu 07/11/19	246,244
248						
249	**Project closure**	**33 days**	**0 hrs**	**Thu 07/11/19**	**Wed 08/01/20**	
250	Lessons Learnt Meeting takes place	1 day	0 hrs	Thu 07/11/19	Fri 08/11/19	247
251	Post Project Review Plan drafted	10 days	0 hrs	Fri 08/11/19	Fri 22/11/19	250
252	Post Project Review Plan signed off	1 day	0 hrs	Fri 22/11/19	Mon 25/11/19	251
253	End Project Report drafted	20 days	0 hrs	Mon 25/11/19	Tue 07/01/20	252
254	End Project Report signed off	1 day	0 hrs	Tue 07/01/20	Wed 08/01/20	253
255	Project Files Archived	0 days	0 hrs	Wed 08/01/20	Wed 08/01/20	254
256						
257	Contingency - 15%	166 days	0 hrs	Wed 08/01/20	Thu 27/08/20	255



Appendix 11: Costs for Option 5

Assumptions in cost calculation for Option 5:

Phase 1 – X as complex as the Online Renewals Project

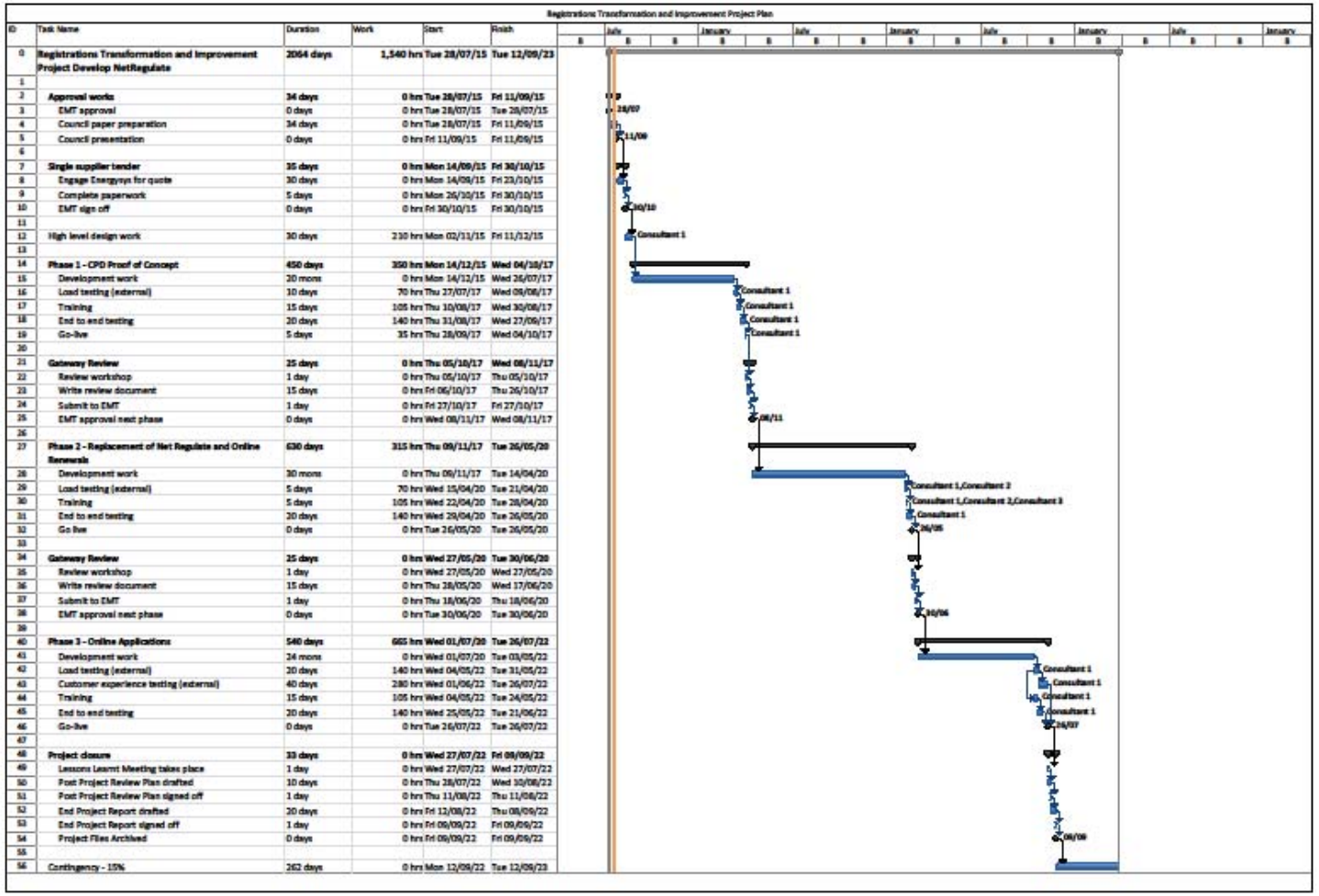
Phase 2 – Assumed that X% of current ‘code’ will be reusable, and there will be a X% increase in functionality.

Phase 3 – X times as complex as the Online Renewals Project

Costs per Financial Year:

	2015/16	**2016/17**	**2017/18**	**2018/19**	**2019/20**	**2020/21**	**2021/22**	**2022/23**	**TOTAL**
Total Cost	£X	£X	£X	£X	£X	£X	£X	£X	£X

Appendix 12: Option 5 (develop the current Registration system) project plan



Registrations Transformation and Improvement Project Plan

ID	Task Name	Duration	Work	Start	Finish
0	**Registrations Transformation and Improvement Project Develop NetRegulate**	**2064 days**	**1,540 hrs**	**Tue 28/07/15**	**Tue 12/09/23**
1					
2	**Approval works**	**34 days**	**0 hrs**	**Tue 28/07/15**	**Fri 11/09/15**
3	EMT approval	0 days	0 hrs	Tue 28/07/15	Tue 28/07/15
4	Council paper preparation	34 days	0 hrs	Tue 28/07/15	Fri 11/09/15
5	Council presentation	0 days	0 hrs	Fri 11/09/15	Fri 11/09/15
6					
7	**Single supplier tender**	**35 days**	**0 hrs**	**Mon 14/09/15**	**Fri 30/10/15**
8	Engage Energyss for quote	30 days	0 hrs	Mon 14/09/15	Fri 23/10/15
9	Complete paperwork	5 days	0 hrs	Mon 26/10/15	Fri 30/10/15
10	EMT sign off	0 days	0 hrs	Fri 30/10/15	Fri 30/10/15
11					
12	High level design work	30 days	210 hrs	Mon 02/11/15	Fri 11/12/15
13					
14	**Phase 1 - CPD Proof of Concept**	**450 days**	**350 hrs**	**Mon 14/12/15**	**Wed 04/10/17**
15	Development work	20 mons	0 hrs	Mon 14/12/15	Wed 26/07/17
16	Load testing (external)	10 days	70 hrs	Thu 27/07/17	Wed 09/08/17
17	Training	15 days	105 hrs	Thu 10/08/17	Wed 30/08/17
18	End to end testing	20 days	140 hrs	Thu 31/08/17	Wed 27/09/17
19	Go-live	5 days	35 hrs	Thu 28/09/17	Wed 04/10/17
20					
21	**Gateway Review**	**25 days**	**0 hrs**	**Thu 05/10/17**	**Wed 08/11/17**
22	Review workshop	1 day	0 hrs	Thu 05/10/17	Thu 05/10/17
23	Write review document	15 days	0 hrs	Fri 06/10/17	Thu 26/10/17
24	Submit to EMT	1 day	0 hrs	Fri 27/10/17	Fri 27/10/17
25	EMT approval next phase	0 days	0 hrs	Wed 08/11/17	Wed 08/11/17
26					
27	**Phase 2 - Replacement of Net Regulate and Online Renewals**	**630 days**	**315 hrs**	**Thu 09/11/17**	**Tue 26/05/20**
28	Development work	30 mons	0 hrs	Thu 09/11/17	Tue 14/04/20
29	Load testing (external)	5 days	70 hrs	Wed 15/04/20	Tue 21/04/20
30	Training	5 days	105 hrs	Wed 22/04/20	Tue 28/04/20
31	End to end testing	20 days	140 hrs	Wed 29/04/20	Tue 26/05/20
32	Go live	0 days	0 hrs	Tue 26/05/20	Tue 26/05/20
33					
34	**Gateway Review**	**25 days**	**0 hrs**	**Wed 27/05/20**	**Tue 30/06/20**
35	Review workshop	1 day	0 hrs	Wed 27/05/20	Wed 27/05/20
36	Write review document	15 days	0 hrs	Thu 28/05/20	Wed 17/06/20
37	Submit to EMT	1 day	0 hrs	Thu 18/06/20	Thu 18/06/20
38	EMT approval next phase	0 days	0 hrs	Tue 30/06/20	Tue 30/06/20
39					
40	**Phase 3 - Online Applications**	**540 days**	**665 hrs**	**Wed 01/07/20**	**Tue 26/07/22**
41	Development work	24 mons	0 hrs	Wed 01/07/20	Tue 03/05/22
42	Load testing (external)	20 days	140 hrs	Wed 04/05/22	Tue 31/05/22
43	Customer experience testing (external)	40 days	280 hrs	Wed 01/06/22	Tue 26/07/22
44	Training	15 days	105 hrs	Wed 04/05/22	Tue 24/05/22
45	End to end testing	20 days	140 hrs	Wed 25/05/22	Tue 21/06/22
46	Go-live	0 days	0 hrs	Tue 26/07/22	Tue 26/07/22
47					
48	**Project closure**	**33 days**	**0 hrs**	**Wed 27/07/22**	**Fri 09/09/22**
49	Lessons Learnt Meeting takes place	1 day	0 hrs	Wed 27/07/22	Wed 27/07/22
50	Post Project Review Plan drafted	10 days	0 hrs	Thu 28/07/22	Wed 10/08/22
51	Post Project Review Plan signed off	1 day	0 hrs	Thu 11/08/22	Thu 11/08/22
52	End Project Report drafted	20 days	0 hrs	Fri 12/08/22	Thu 08/09/22
53	End Project Report signed off	1 day	0 hrs	Fri 09/09/22	Fri 09/09/22
54	Project Files Archived	0 days	0 hrs	Fri 09/09/22	Fri 09/09/22
55					
56	Contingency - 15%	262 days	0 hrs	Mon 12/09/22	Tue 12/09/23

Appendix 13: Grant Thornton Audit

Please see the following pages.

Health and Care Professions Council

Internal Audit 2015-16: Registration Transformation and Improvement Project

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Distribution		Timetable	
For action		Fieldwork completed	12 August 2015
		Draft report issued	14 August 2015
For information		Final report issued	26 August 2015

Introduction

The Health and Care Professions Council (HCPC) is a regulator whose primary objective is "to safeguard the health and well-being of persons using or needing the services of registrants". To achieve this, HCPC maintain a register of health and care professionals who meet their standards for training, professional skills, behaviour and health. As of 31 March 2015, the HCPC regulated c.330,000 individuals, known as registrants, from the 16 professions they regulate, including speech therapists, paramedics and physiotherapists.

HCPC are planning to replace their core registration system, which was originally implemented in July 2003. Since its implementation, changes have been made within the Registration process but this core system has not been updated to fully reflect all of these, with updates being made elsewhere to support these changes in the processes. The current registration system does not support functionality including, for example, Continuing Professional Development, Returners to Practice, and enhanced International Application Assessment verification.

The full programme of work is formed of two separate but related projects:

- Registration Process and System Review: This project was established to conduct research and development, analyse requirements and, if a case is made to revise processes and build a new system, create a business case for the second project to design and build a new system, including delivery phases and methods.

- Design and Build (now referred to as the Registration Transformation and Improvement Project): If the case is made that processes do need to be revised and systems need to be replaced then a new project will revise processes and build the new system.

As part of the Grant Thornton 2015/16 Internal Audit Plan, we agreed with the Audit Committee and management that we would undertake a project audit because it would be the largest project, by measure of cost and complexity, undertaken by HCPC and therefore may have a significant impact on the organisation.

Scope of engagement

The recommendation from the Registrations Process and Systems Review Project is to tender for the design and build of a new Registrations System. The project is currently estimated to cost in the region of c.£4 million over a five year period, commencing in 2015. Grant Thornton has been engaged by HCPC to:

- assess and comment on the programme budget, investment case, solution approach and implementation plan,
- assess and comment on the approach to the project delivery and already identified delivery risks.

The reviewed focussed on the following:

a) is the proposed level of programme investment appropriate to address the requirements as identified in the Project Initiation Document and business requirements specification

b) have reasonable alternatives been properly considered, is the choice of the preferred option supported by sufficient reliable evidence, and does it represent value for money

c) does the current programme budget include estimates for appropriate resources and efforts to mitigate identified risks, and is the budget based on appropriate business requirements

Grant Thornton approach

A preliminary briefing session was held on 8 July 2015 attended by Grant Thornton representatives and members of the HCPC management team including:

- Andy Gillies, Director of Finance
- Gregory Ross-Sampson, Director of Operations
- Guy Gaskins, Director of IT

The context and scope of the project review and audit were discussed at this briefing session and the scope of engagement defined accordingly. Prior to initiation of the project review, Grant Thornton issued an information request for project documentation; including such items as the Project Initiation Document, Business Case, Project Plan, Statement of Requirements and proposed budget. Draft versions of these documents were provided to Grant Thornton prior to commencement of the engagement, with incremental and final versions provided during the course of the engagement.

An interview schedule was proposed and agreed with the HCPC management team, through which to understand, question, challenge and evaluate aspects of the project approach, plans and management controls as per the stated review objectives in the agreed scope of engagement. The schedule of interviews conducted was as follows:

Name	Role	Duration	Date
Gordana Vitkovic	Lead Business Analyst, Optevia	1.5 hours	31-Jul
Greg Ross-Sampson	Director or Operations and Project Lead	1.5 hours	03-Aug
Richard Houghton	Head of Registrations and Senior User	1 hour	03-Aug
Martha Chillingworth	Senior Project Manager	2 hours	03-Aug
Guy Gaskins	Director of IT and Senior Supplier	1.5 hours	05-Aug
Marc Seale	Chief Executive and Project Sponsor	1.5 hours	05-Aug
Andy Gillies	Finance Director	1 hour	05-Aug
Claire Reed	Project Portfolio Manager	1 hour	05-Aug
Dushyan Ashton	Registrations Manager	30 minutes	05-Aug

Further meetings with the HCPC management team were held during the period of our engagement to provide feedback on insights captured and clarify points of discussion.

Overall health of the HCPC Registrations Transformation and Improvement Project

The value in external assurance not only lies in reviewing project health and highlighting potential areas of risk, but in our opinion even more so in recommending mitigating actions and suggesting improvements that HCPC may wish to consider going forward to increase the likelihood of a successful delivery.

A project audit provides an opportunity to highlight the issues, concerns and challenges that can be expected and encountered in the execution of a project. Unlike compliance audits which predominantly seek to verify adherence to a set of pre-defined processes, the value of a project audit comes in evaluating the mechanisms and completeness of decisions taken to control time, cost and quality, in addition to assessing the effectiveness of risk management, control, and the governance framework. They allow for the identification of pre-emptive or corrective action which if implemented by the project team, may increase the likelihood of success.

Inevitably in any project in its early stage, there are trade-offs to be made in managing time, cost and quality, which has been the case for this project. HCPC's approach to this project reflects a series of conscious decisions, on occasion consciously deviating from what could be considered best practice. The team has sought to ensure a pragmatic and reasonable approach which reflects the project's sense of urgency and budgetary challenge, while ensuring appropriate control and governance remain intact.

Whilst this report identifies a number of suggested actions to ensure the project is setup for success, our overarching view is of a project which appears to be well governed and documented, and in line with this review, has a high standard of compliance to the HCPC Project Management guide[1]. The project team approach appears indicative of a structured, controlled and well governed project which has taken on board learning from previous projects. In our opinion, appropriate consideration has been given to the nature of costs and risks expected from a project of this kind. The soundness of the proposed budget is dependent a single vendor estimate at this stage, and limited available data in the public domain to provide a comparative estimate. However, in our opinion the project plan reflects appropriate activities and controls to enable the project team to achieve a greater level of cost certainty before overcommitting resources to the project.

We have assessed the Registration Transformation and Improvement Project against the following Grant Thornton project success criteria, highlighting where factors for success will need to be sustained across several project disciplines.

[1] HCPC Project Management Guide v1.8

Interpreting the assessment categorisation

Rating	Summary	Description
Green	Areas of strength	General adherence to considered project delivery best practice or HCPC Project Management methodology.
Amber	Suggested area of management focus	General adherence to considered project delivery best practice or HCPC Project Management methodology, but with deviation from plan and approach within an internally defined framework. Focussed attention in stated areas is recommended otherwise, in our opinion, the project may be at risk if areas highlighted are not appropriately addressed.
Red	Requires immediate attention	Project is at significant risk due to lack of, or inappropriate, control mechanisms. Management action required.

Green = areas of strength, Amber = suggested area of management focus, Red = requires immediate attention

	Grant Thornton Comment	Rating	Management Response
1	**Strategic alignment**		
	• The Registrations project appears to be clearly aligned to the HCPC's vision and strategic intent for the provision of Registrant services. However, the decision to mitigate delivery risk through the current planned phasing of functionality (eg. postponing the implementation of extended CRM capability; online applications, direct debit payments) will require HCPC to actively manage stakeholder expectations (eg the ability to transact online), but also consciously consider whether the approach reflects the timely needs and interests of both HCPC (to exploit a position of 'digital by default') and their Registrants, as surfaced through the requirements gathering process. • Operational efficiencies made possible by transitioning to a new technology platform and operating model will not be realised until the latter years of the project. HCPC may wish to evaluate a more aggressive implementation plan, accepting a higher level of delivery risk to make a more informed decision. • Best practice would suggest a more detailed analysis of cost/benefit versus delivery risk to determine an implementation phasing which delivers greatest value to the HCPC and its Registrants at an acceptable level of risk. An illustrative example is provided in Appendix 3.		• Key stakeholders, the Registrants and Applicants, have not been given a date when these new processes and systems will be made available to them; as such they have little expectation of when this project will be delivered, and will continue with the status quo. • The decision to phase the CPD Proof of Concept, followed by the replacement of the core registration system, then the online applications was a conscious one whereby we have prioritised quality and risk mitigation over benefits realisation. This phased approach is considered to be the best fit for HCPC. • We considered building the core Register functions first, with a full cost/benefits analysis within the Full Business Case for Council. However this is too large a commitment of money and resources to act as a proof of concept. If we have chosen the wrong supplier, or the wrong software, we may have committed a large amount of time and money before we find out. • We also considered implementing the Online Applications phase first, however this would require significant integration with the current core registration system, introducing an unacceptably high level of risk and additional cost.
2	**Clarity of scope and content**		
	• The business drivers for change have been clearly articulated. Project objectives and deliverables have been specified. • In our opinion however, documenting and		• Detailed Critical Success Factors have been completed as part of the Full Business Case package going to Council. • As per the project plan, the first

	Grant Thornton Comment	Rating	Management Response
	gaining agreement for sufficiently detailed success criteria against which progress can be regularly assessed forms an important component of a go/no go decision for the first phase and the enduring project. • Similarly, the required outcome of each planned sprint is not sufficiently outlined at this stage so as to support a measurable success criteria. The assumption is made that this will be addressed in the detailed design phase which follows.		undertaking will be the initial design; planned measurable success criteria for each sprint will be determined as part of this work.
3	**Leadership**		
	• There is evidence of strong leadership at both project and Executive Management Team level (EMT). The project team and HCPC EMT promote trust and transparency with the Council, where the strategic value of the project and its approach and deliverables are actively challenged. • The project team demonstrate effectiveness at facilitating timely decision making and managing stakeholder groups, driving the Registrant vision and confronting complex issues to ensure continued progress.		• Openness and Transparency are core values within HCPC, and all projects are run with this ethos. • HCPC operates with a culture of continuous improvement, whereby all people are invited to make suggestions on how processes can be improved.
4	**Rigorous governance and control**		
	• The project board has been established with suitable representation across the HCPC. When interviewed, all parties understood their role as part of the project team and considered that they had appropriate involvement and influence in the project. • A single point of accountability has been established through delineation of project roles and responsibilities in accordance with the HCPC Project Management Guide, with escalation procedures in place which provide for controlled decision making.		• HCPC have a mature Project Management Methodology, and 14 years' experience of running projects. • The methodology follows PRINCE2, however much of the decision making (including go/no-go decisions) is formally given to EMT, providing an additional level of independent scrutiny for all projects. • There will be a formal Quality Assurance role on the Registrations Transformation and Improvement Project Board.

	Grant Thornton Comment	Rating	Management Response
	• Consideration is currently being given to the appointment of a dedicated quality assurance role in recognition of the criticality of the project.		
5	**Appropriateness of chosen solution**		
	• Prior to initiating the detailed design and build phase, best practice would require a more detailed exercise to assess the functional fit and development cost of a range of solutions in meeting the defined business requirements (beyond MS Dynamics CRM). • In our opinion, the decision to deploy MS Dynamics may be an appropriate choice given the stated business requirement and alignment with HCPC's IT Strategy. HCPC have compiled a body of evidence to support their choice of MS Dynamics. The extent to which the solution remains sustainable will depend on maintaining an appropriate balance of configuration over customisation. Participants in the requirements gathering process were consciously guided to a greenfield solution, unconstrained by existing process and systems, with limited emphasis at this stage on differentiating 'mandatory, must have' requirements and 'nice to have' features. • We recommend further challenge and scrutiny on the business requirements during the detailed design and vendor selection stages to identify those requirements which come at a disproportionate cost. In addition this may mitigate the risk of over-engineering the solution at additional cost, to the		• In order to have clear and detailed costs of configuring/customising the solution, we would need to spend several months with multiple suppliers, explaining in detail to each one what our functional/non-functional requirements are in order for them to interpret the most opportune approach to develop this functionality. This design work would need to be a costed piece of work from each supplier. Due to the speculative nature of this work, from experience we would not expect the suppliers to develop the best possible solution until they win a bid to build the full solution. • The project team made a conscious decision not to invest time and cost with multiple suppliers coming up with several separate speculative options. The decision was made to invest this time and money into building the working product, the CPD module, and thereby testing the concept. • A key point in our evaluation criteria during vendor selection will be that they must note whether their estimate against each requirement is for configuration or customisation of Dynamics CRM. Proportionality of the proposed solution will also feature in the evaluation criteria. • As per the project plan, the first

	Grant Thornton Comment	Rating	Management Response
	detriment of Total Cost of Ownership, compared to what could be achieved through a more standardised (vanilla) 'off-the-shelf' solution.		undertaking will be the high level design; MoSCoW[2] analysis will be undertaken as part of this work.
6	**Funding**		
	• The lack of comparable cost estimates sourced from alternative vendors to date has constrained the extent to which the project team can achieve a higher degree of confidence in the design and build costs associated with the chosen technology platform. • The budget and business case is therefore reliant on an estimate from a single supplier on the basis of a requirement specification that, in our opinion, has not yet been subject to rigorous challenge in terms of appropriateness to business need. • Furthermore, assumptions have been made regarding integration effort and capabilities with 3rd party solutions and cloud based Microsoft Services that may, if inaccurate, adversely impact the build costs. • Following the competitive tender process and before contracts are signed with a chosen vendor, we recommend a further project checkpoint be introduced, to review the cost commitments and ensure they remain aligned with the forecast budget and business case. • To mitigate the risk of budgetary overspend, project funding will be released in a phased approach in accordance with the project plan.		• As outlined in the previous section, the project team made a conscious decision to invest in a proof of concept that includes a working viable product at its conclusion, rather than invest time and cost with multiple suppliers coming up with several separate speculative options. • Due to the size and complexity of this project, the project team decided at the beginning to add additional levels of go/no-go decisions and checkpoints throughout this project. For example, on top of the existing project management corporate governance, gateway reviews were introduced to this project. • A project checkpoint has been put into the plan, before contracts are signed with the chosen vendor. • As mentioned in the Registration Transformation and Improvement Project Corporate Project Risk Register, there are three mitigations to ensure this project does not overspend. They are i) Phasing of the project ensures clear contractual and delivery break points ii) Gateway reviews allow us to procure before each phase, so can re-tender for competitive costs iii) Initial CPD Proof of Concept phase providing confidence in estimation process.

[2] The MoSCoW method is a prioritisation technique used in software development to reach a common understanding with stakeholders on the importance they place on the delivery of each requirement. MoSCoW stands for "must have", "should have", "could have", and "would like to have".

	Grant Thornton Comment	Rating	Management Response
7	**Resources and commitment**		
	• Resources and budgets appear to be forecasted, modelled and monitored appropriately. • Scenario modelling has been completed to illustrate the financial impact of project decisions taken in relation to project phasing, and to determine the possible impact from identified risks escalating into live issues. • Commitment of resources to support the project through the design, build, test and implementation stages has been provisioned for in the project budget, thereby reflecting the true overhead to the organisation from temporarily redeploying operational resources onto project activities.		• HCPC have a mature Project Management Methodology, and 14 years' experience of running projects. • One strand of HCPC's Project Management Methodology is dissecting the success and delivery of the project and documenting the lessons and advice to be pushed forward to future projects. New projects starting up always review previous lessons learned.
8	**Team effectiveness**		
	• The project has drawn on key internal subject matter expertise from operational teams in the definition of 'to-be' process models and gathering of business requirements. • Cross-functional inputs have been sought to ensure clarity and understanding as to cross departmental touch points and efficient ways of working. • The project team have a sound appreciation of the skills and capabilities required to ensure their collective effectiveness. Specialist skills have been procured into the project (namely a business analyst with specialist knowledge and experience of MS Dynamics CRM implementations), along with training and up-skilling of project participants to improve the quality of outputs.		• The success of any project is dependent on it being designed by the people who will use the system. All HCPC projects are business-led, therefore ensuring that the business owns the quality and functionality of the product.

Detailed findings

The following pages present our findings and opinions compiled from the key stakeholder interviews upon which our conclusions, recommendations and risk analysis (Appendix 2) are drawn.

a) Project Scope

- The business drivers for change appear to be clearly articulated within project deliverables.
- In our opinion, the objectives of the project have been defined in accordance with the business drivers, however there appear to be inconsistencies in how these are articulated across the PID, business case and Business Analysis Summary Report.
- The project scope is considered to be clearly defined.
- Project deliverables have been outlined, however, in our opinion, documenting and gaining agreement for sufficiently detailed success criteria against which progress can be regularly assessed forms an important component of a go/no go decision for the first phase and the enduring project. It is assumed that success will be measured as a by-product of timeliness, expenditure and the extent to which the stated objectives have been met.

In our opinion, success criteria should be explicitly defined in alignment with the project scope and objectives via a structured and collaborative process, whereby all decision making stakeholders have the opportunity to provide input, challenge assumptions, negotiate success criteria and provide authorising acceptance.

b) Solution Approach

i. Requirements gathering and specification

- The project team engaged the services of an external Business Analyst with appropriate experience in CRM full lifecycle implementation.
- Process modelling and requirements gathering workshops were structured and co-ordinated in accordance with four core process groups; UK Registrations, International registrations, Financial processes, CPD.
- The business analysis team and internal process subject matter experts (SMEs) were co-located for a period of four to six weeks, during which processes were mapped, requirements captured and processes re-engineered.
- Cross-functional teams were formed to review interdepartmental touch-points and handoffs. Furthermore, regular meetings were convened with HCPC legal representatives to address challenges and uncertainties identified during the workshops which could not be answered by the project team.
- A total of c.2,500 requirements were captured and prioritised, along with c.75 'to-be' business processes modelled.
- External insights were sourced from end users via Registrant surveys to inform the requirements specification.
- The project team made the decision to not document the 'as-is' business processes and deemed that a formal gap analysis, comparing each line of the requirements with the current solution would not be a productive exercise.

- It is understood that participants within the requirements gathering workshops were encouraged to think in an unbounded manner and to define the capability of a greenfield, 'platinum solution'. This approach may have potentially increased the likelihood of over-engineering the solution at additional effort and cost with marginal benefit to be realised.
- To mitigate this risk, the validity, appropriateness and feasibility of business requirements were duly challenged by the Lead Business Analyst, so to, the extent to which the requirements could be met through configuration of the MS Dynamics platform versus more complex and costly customisation.
- The agile approach to solution design and build, delivered through a series of sprints, should allow the project team to learn, adapt and modify their approach during the development phase. However, this relies on maintaining a clear view of what the ultimate goal is of each iterative sprint to ensure that the project remains on track to deliver the scoped functionality.
- The project team has stated that quality will remain a key driver through these series of sprints, with a focus on maximising the level of value add while considering appropriateness and proportionality of the resultant product.

In our opinion, the requirement specification should be scrutinised in the forthcoming detailed design period to validate that the stated requirements are in keeping with the core principle of delivering a solution appropriate and reasonable to the needs of HCPC Registrants.

Furthermore, in our opinion, the required outcome of each planned sprint are not sufficiently defined so as to support a measurable success criteria. We would recommend that a sprint goal is agreed for each, with a clearly defined and measurable set of acceptance criteria that can be tested and signed off by the appropriate business owner.

ii. Solution option assessment

- The project team have identified and evaluated the following solution options to find the best fit with the business case, statement of requirements and the anticipated budget;
    i. Take no action (reference case),
    ii. Tender for the design and build of a new Registration system (proposed option),
    iii. Develop a new Registration in-house,
    iv. Increase functionality of the existing Net Regulate Registration system,
    v. Sourcing of Registrant system functionality via (Software As A Service).
- Best practice would suggest each solution option is assessed in respect to; the percentage of requirements the option would meet, the estimated cost of following the option, the internal and external risks the option would address, and the cultural fit of the option to the way the organisation currently works.
- Each solution should be compared in terms of the Net Present Value (NPV) of the investment required, as well as the total cost of ownership over a period of at least five years.
- Having selected a proposed option, the project team conducted a series of site visits[3] to other comparable regulatory bodies to identify a suitable CRM platform. The purpose of these visits was predominantly to discuss their approach to the delivery of their regulatory

[3] Regulators including the General Dental Council, the Scottish Social Services Council, and the Care Council for Wales. Furthermore it is being implemented by the General Optical Council and the General Pharmaceutical Council.

requirements and to assess the appropriateness and capability of Microsoft Dynamics CRM to serve as the underlying platform.

- Internal discussions were held to identify potential alternatives to Microsoft Dynamics CRM and to explore the respective advantages and disadvantages between an IT supplier model (Siebel, Oracle, SAP) to a platform model (MS Dynamics).
- Having determined that MS Dynamics was the preferred solution option, the design and build estimates for delivering the requirement specification were estimated on the basis of effort required to configure and customise MS Dynamics. As such, there is no comparable cost estimate for delivering the stated business requirements through alternative platforms and therefore no clear means through which to assess whether the proposed level of investment is appropriate to address the requirements defined.
- In our opinion, the decision to deploy MS Dynamics may be an appropriate choice for the following reasons:
  - HCPC should benefit from the ongoing research and development of a large software provider, in this instance Microsoft, and continued platform development, without the requirement for HCPC to directly invest in this specific technology capability.
  - Access to an extensive pool of development expertise, removing their current reliance on a single supplier for technology enhancements.
  - Alignment with the documented and approved HCPC IT Strategy.
  - The project team conducted preliminary research to understand the CRM market segmentation in order to focus on the right category of vendor that is the right size for their needs. In particular, analysis and insight from Gartner and Forrester research bodies was sourced, defining Microsoft Dynamics CRM as a 'top quadrant' / leading solution in the CRM solution landscape, with a significant base of both enterprise and midmarket customers
  - According to Forrester[4], the MS Dynamics CRM solution is attractively priced when compared with other vendors, especially when the solution is bundled with other products in the Microsoft range such as MS Office and Power BI. Furthermore, they consider the product to have a solid road map and vision for future enhancements.
- Total cost of ownership (TCO) is a key determinant in the sustainability of the chosen solution platform. A high level of customisation will ultimately increase the TCO of the platform and result in additional maintenance overhead.

The project team has adopted a key design principle of configuration over customisation, however, in our opinion, further challenge and scrutiny on the business requirements during the detailed design phase may further help to mitigate the risk of over-engineering the solution at additional build cost and to the potential detriment of TCO to what could be achieved through a more standardised (vanilla) 'off-the-shelf' solution.

c) Risk management

- A risk workshop was held upon initiation of the Registration Process and Systems Review Project.
- Risks have been identified and documented within the Project Risk Register and Corporate Risk Register.

[4] The Forrester Wave™: CRM Suites For Midsize Organizations, Q1 2015

- Each risk has been assigned a risk score based on its likelihood to materialise and potential impact, along with an assigned mitigating action. Risk mitigations have been reflected in the project plan, budget and related project deliverables (ie. Communications Plan, Quality Assurance Plan) where appropriate.
- The risk registers are managed by the Project Manager (MC), and reviewed by the Project Board on a fortnightly basis.
- The HCPC Executive Management Team are provided project updates on a six weekly basis.
- The Council are provided with project updates at each Council meeting.
- The project team have defined multiple scenarios for the project implementation plan to reflect the risks identified, from which to agree the most appropriate and realistic timeline and budget for delivery.
- Management stated that lessons learned from past projects have been reviewed and considered appropriately in planning and budgeting activities for this project.

In our opinion, risks are being appropriately identified and managed by the project team. The project team have identified the major risks common to a project of this nature, and outline risk management plans exist through which to mitigate these risks.

d) Project Oversight and Governance

- The project team have identified potential risks with staff project commitments to ensure that resources with the appropriate skills are in place to deliver the projects and support the day to day business operations.
- Appropriate project governance including defined project roles and responsibilities; decision making and escalation processes and an agreed programme reporting cycle, in accordance with the organisations agreed assurance framework has been established.
- The proposed solution supports the organisations strategic IT approach, and is aligned to the business requirements through staff and subject matter expert engagement in the business process redesign activity.
- The annual budget review by the Council may be used to maintain the balance between initiatives that continue to run the current business and those that have the potential to transform the business. The proposed phased development and implementation project plan may allow the HCPC to reduce or halt funding each financial year if cost overruns or delays are experienced.

The appropriate management structure and controls are key to good project governance and are essential to the successful delivery of an IT project or programme. In our opinion, the project is demonstrating a robust approach to project governance. The project team approach is indicative of a structured, controlled and well governed project which has taken on board learning from previous projects.

e) Investment case and programme budget

- In our opinion, appropriate consideration has been given to the nature of costs expected from a project of this kind, covering items such as infrastructure, licencing, design, development, testing, security, training, maintenance, support and business readiness. Subsequent recalculations are being incorporated to reflect the open decision to deploy MS Dynamics either on-premise or in the cloud.
- Design and build costs for the proposed solution have been estimated by Optevia, based on their interpretation of business requirements. A greater level of cost certainty is dependent on detailed

design analysis in the next project stage, along with comparative development estimates from alternative vendors.

- There is very limited data available within the public domain from which to form a judgement as to whether the budget for this project is akin to recent implementations by regulatory professional membership bodies. Insight gathered in respect to a similar CRM implementation project by one comparable UK regulatory body revealed a phased budget of £7m over a four years was invested to implement Siebel CRM functionality for all transactional operational processes (therefore broader in scope to the HCPC registrations project); case management, registrations, online applications, online portal, fitness to practice and contact centre.
- As well as a contingency provision of 15% of total cost, the current budget and project plan includes a provision for resources and efforts to mitigate risks identified, in particular;
  - provision for design auditing to ensure alignment with best practice development standards thereby ensuring the resultant platform can be supported by a wide resource pool,
  - design consultancy to optimise the user experience (UX),
  - 'backfill' resource costs have been included to reflect the true cost to the organisation from temporarily redeploying operational resources onto project activities,
  - issue resolution from previous sprints.
- Management stated that the planned phasing of project deliverables has been designed to mitigate delivery risk, predominantly through commencing with a 'pilot' module for Continuous Professional Development (CPD), rather than prioritising the implementation of core CRM capability, cutover to the target CRM platform and decommissioning of the existing Net Regulate system in the first phase. While this approach offers a lower delivery risk, it could potentially result in Registrant expectations not being met in a timely fashion given 'value add' functionality is scoped in phases 2 and 3, in addition to delaying the realisation of benefits stated in the business case. A rephrasing of the project plan, while posing a higher level of delivery risk, could result in earlier realisation of benefits and a more attractive NPV.

  In the interest of making a fully informed decision, it is our recommendation that a further delivery option be considered which reflects a more aggressive implementation plan. While this is likely to carry a higher level of delivery risk, correspondingly it should yield earlier value creation. A detailed analysis of cost/benefit versus delivery risk should inform and support the decision on implementation phasing to determine a plan which delivers greatest value to the HCPC and its Registrants at an acceptable level of risk and opportunity cost.

  An indicative NPV cost benefit analysis for an accelerated delivery plan has been provided in Appendix 3 which prioritises the migration from Net Regulate to MS Dynamics at the expense of an upfront pilot phase. In addition, this delivery option may further serve to mitigate the current supplier risk and dependency on Energsys through earlier migration and decommissioning of the Net Regulate system.

- At this stage of the project, the budget and business case is reliant on an estimate from a single supplier on the basis of a requirement specification that, in our opinion, has not yet been subject to rigorous challenge in terms of appropriateness to business need. We reiterate the earlier recommendation that the requirement specification should be scrutinised in the forthcoming detailed design period to validate that the stated requirements are in keeping with the core principle of delivering a solution appropriate and reasonable to the needs of HCPC Registrants.

- The planned procurement exercise will provide a comparative set of implementation costs from alterative vendors. In our opinion, before the contracts are signed, there should be a project checkpoint to review the cost commitments to ensure they are aligned with the forecast budget.
- Based on the information made available to us and the present lack of comparable development estimates, we are unable to form a firm conclusion as to whether the proposed level of investment is appropriate to address the requirements as identified in the Project Initiation Document and business requirements specification, however there is a level of assurance that the budget has not been underestimated based on the following:
    - The projected costs have been defined in context to a greenfield solution, which, while providing a degree of headroom in delivering the core functionality required of the system, may have overstated the cost to deliver an 'appropriate and reasonable' solution.
    - The design and build costs supplied by Optevia, an experienced MS Dynamics vendor, reflect a 'worst case' (upper range) estimate for development, including the cost of integrating with new and existing systems.

Conclusion

The Registration Transformation and Improvement Project team is conscious of the environment within which HCPC operates, both in terms of its fiscal responsibility to ensure value protection for the HCPC and its Registrants, and the importance of a stable technology environment to support the continued, unhindered operations of the HCPC.

The project appears to have taken into account the scale and complexity of the change in context to the organisation in order to establish an appropriate project structure, governance and delivery approach. The project team's approach appears indicative of a structured, controlled and well governed project which has taken on board learning from previous projects.

The organisational context has led to the adoption of a risk sensitive approach in the shaping and delivery of the project while having to make trade-offs in the conception of the project to ensure a pragmatic and reasonable approach, for example, consciously mitigating the additional project costs associated with a more comprehensive market test of solution options in the business case stage. A further risk versus reward trade-off in accepting a risk sensitive approach is the potential opportunity cost to the HCPC (from postponed realisation of benefits) and the potential for Registrant expectations to be underserved in the coming years.

The current budget forecast and business case is reliant on an estimate from a single supplier on the basis of a requirement specification that, in our opinion, may benefit from further scrutiny to ensure appropriateness of need in order to avoid over-customisation and build cost disproportionate to benefit. Management have confirmed that this will be a key focus in the detailed design phase which follows. In our opinion, appropriate consideration has been given to the nature of costs and risks expected from a project of this kind, and the planned procurement exercise in the next stage should provide a comparative set of implementation costs from alterative vendors on which to make a more comprehensive investment decision.

Whilst this report has identified some suggestions for improvement to ensure the project is setup for success, our overarching view is of a project which appears to be well governed and documented, and in line with this review, has a high standard of compliance to the HCPC Project Management guide[5].

[5] HCPC Project Management Guide v1.8

Acknowledgement

We would like to thank those HCPC staff who assisted us during the course of the review and also to the contractors who have provided additional information.

Grant Thornton LLP
August 2015

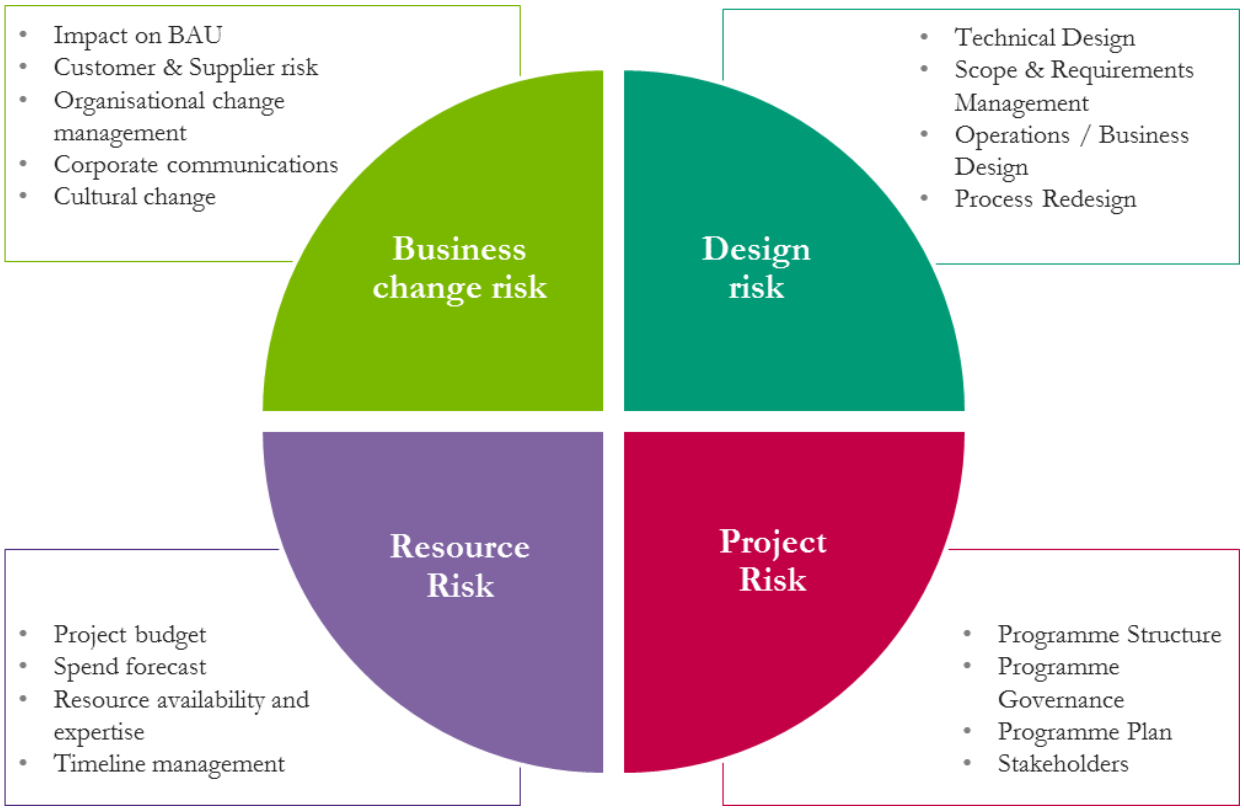
Appendix 1 – Document Reviews

The Registrations Project team provided Grant Thornton with a selection of the current, most relevant documents related to project governance, delivery planning, budget and solution.

Summary of document review
Business Case • **Business Case Build Project v0.8** • **Business Case Budget v0.3 markup**
Project Initiation • **Registrations Transformation and Improvement Budget v0.9** • **Registrations Transformation and Improvement Project Initiation Pack**
Risk Management • **Registrations Transformation and Improvement Risk Log**
Business Analysis • **As-Is Processes** • **Business Analysis Summary Report v1.0** • **Business Analysis Summary Report Appendices** • **Optevia Business Analysis Report v0.93**
Vendor estimates • **BDB Invoice Reg Project** • **Microsoft QuoteRef_336829** • **Optevia Budget est phasing v1.0** • **Optevia Budgetary numbers for HCPC Registrations Solution Final** • **Purple web dev HCPC_statement of work v3** • **Rackspace final-contract July 2014**
Documents pertaining to Education System implementation • **Project Cost Tracking – online renewals** • **Budget overview for EMT FINAL** • **Education actuals** • **Education System Build PID 2015 v1.5 Final** • **EMT 24 September 2013 minutes**

Appendix 2 - Risk analysis

Our analysis of risk management was structured in accordance with the four risk dimensions shown below.



Our key findings are as follows;

Risk Area	Positive	Negative
Business change	• Plan to develop the Continuous Professional Development (CPD) module first as a Proof of Concept because it can be considered a standalone module and therefore considered low risk • There is a corporate risk register in place that is discussed at the Council meeting • Corporate communication – updates provided to staff on project progress	• Registrant expectations may not be met in a timely fashion because "value add" is in final project phase – eg. monthly direct debits
Design	• Key subject matter experts from the business units were included in the business process redesign workshops • Cross functional input and review of common departmental touch points • Sourced insights from registrants (surveys and feedback)	• Lack of clarity as to minimum product set to meet current business requirements • Lack of management scrutiny on requirements specification "Platinum solution" • Build estimates do not reflect / identify relative costs of requirements categorisation i.e. cost

	• Prince II / Agile approach design and build may provide an aligned approach to business requirements and prevent excessive on design without development • Further design workshops planned for more detailed requirements • External Business Analyst was a SME on MS-Dynamics CRM • Business representatives visited reference sites of other regulators to review their systems and processes • Research material from Software Specialists including Gartner and Forrester • Design auditor and User Experience consultants included in outline project budget • Delimited business options for increased certainty in plans and budgets	of "must have" vs "should or could have"; no cost for configuration vs customisation • No comparable cost estimates for alternative platforms through which to assess value for money • Assumptions have been made regarding integrations capabilities with 3rd party solutions and cloud based Microsoft Services that may adversely impact the build costs (eg API's currently exist for all in scope solutions requiring integration)
Project	• A project risk register has been developed from an initial project risk workshop for key stakeholders • An appropriate governance structure has been created with the Project Board, Portfolio Manager and Council receiving regular project updates • Scenario planning to stress test approach based on identified risk mitigation eg. phase the project so that CDP element is completed first to confirm cost model vs replace Net Regulate and financials upfront to address potential supplier risk issues • Agile approach allows reprioritisation / rephasing should risks escalate into greater priorities (subject to budget and resource constraints) • Consideration is being given to providing a full-time quality assurance role within the Project portfolio / project management office	• There is a lack of clearly defined project success criteria against which the final project deliverables can be measured • Requirement specification, in our opinion, has not yet been subject to rigorous challenge in terms of appropriateness to business need
Resources	• The project budget includes costs to provide backfill resources to seconded onto the project team and also for specialist contractors including user experience and software code auditors	• There has been no challenge by senior management on the specified requirements or a cost / benefit breakdown on these requirements • Contingency built into costs because the design is for a 'Platinum'

- The budget has been phased across the timeline and deliverables and will be subject to approval under the existing EMT portfolio governance framework
- There is a recognition in the project team that a weak change control process in the Education Project led to over customisation and increased cost and time to deliver

solution rather than a fit for purpose solution

- The budget has been based on a single supplier quote against un-scrutinised high level requirements. More detailed design workshops may result in an escalation of costs

Appendix 3 – Grant Thornton Indicative NPV Analysis

The figures quoted in this section are indicative estimates which reflect the phasing of costs and benefits expected from a more aggressive delivery timeline. These workings are subject to review and validation by the project team.

A further delivery option has been modelled to reflect an accelerated implementation plan (posing a higher level of delivery risk), to reflect the following high level phasing:

- Procurement activity through 2015 to appoint vendor
- High level design Q4, 2015
- Setup - 3 sprints, Q1, 2016
- Phase 2: Net Regulate & Online renewals - 14 months duration (February 2016 through April 2017) based on same procurement terms as Setup phase
- Repeat procurement exercise to appoint vendor for next phase (if considered necessary)
- Phase 1: CPD and Phase 3: Online applications to run concurrently (May 2017 through Jan 2018)

This is a more aggressive timeline but would allow for earlier benefit realisation and release of value-add functionality to Registrants. The current delivery plan produces an NPV of £3.65m. This accelerated delivery plan results in an estimate NPV of £3.2m due to benefits (predominantly associated with paper and postage costs) partially commencing mid 2017 (50% of estimated annual benefit), with full realisation (100% of estimated annual benefit) mid 2018, one year ahead of the current plan.

Key Assumptions						
Discount Rate	**3.5%**					
			OPTIONS			
	1 (aggressive)	**1 (current)**	**2**	**3**	**4**	**5**
	External Supplier	External Supplier	In-house Team	Develop NetReg	Do Nothing	Outsource Function
Costs of Project						Not costed
Phase 1 - CapEx & OpEx	£1,291,989	£1,161,931	£2,115,703	£854,508	£0	
Phase 2 - CapEx & OpEx	£1,709,800	£1,919,214	£2,680,556	£1,709,017	£0	
Phase 3 - CapEx & OpEx	£981,267	£902,434	£1,435,323	£1,281,763	£0	
Total Costs	**£3,983,055**	**£3,983,580**	**£6,231,582**	**£3,845,288**	**£0**	**£0**
Benefits from Project						
Phase 1	£178,746	£178,746	£178,746		£0	
Phase 2	-£747,717	-£319,762	-£747,717		£0	
Phase 3	£0	£0	£0		£0	
Total Benefits	**-£568,971**	**-£141,016**	**-£568,971**	**£0**	**£0**	**£0**
Non-cash Benefits (exc'd from NPV)						
Release of 3 FTE RA's Time	-£84,000	-£84,000	-£84,000		£0	
Net Costs (Benefits)	**£3,414,085**	**£3,842,564**	**£5,662,611**	**£3,845,288**	**£0**	**£0**
Project Evaluation						
Net Present Value (NPV) - 5 Yrs	**£3,208,603**	**£3,656,200**	**£5,153,332**	**£0**	**£0**	
Decision	For comparative purpose	**Proceed**	Decline	Decline	Decline	Decline
Reason	High delivery risk	Best option/lowest risk	Not good VfM/too risky	Current system not fit for purpose	Current system not fit for purpose	Not inline with strategy

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