Health Professions Council
Finance and Resources Committee – 20th November 2006

PROJECT MANAGEMENT AT HPC

Executive Summary and Recommendations

Introduction

One of the main functions / benefits of HPC's ISO 9000 certification is the continual examination of processes in order to implement improvements. As part of this, HPC wishes to formalise its approach to project management and planning to ensure a consistent and efficient approach to projects across the organisation. For this reason, terms of reference and working practises have been refined.

Decision

The Committee is asked to agree the principles around effective project planning, management and execution detailed in this paper.

Background information

Although HPC is a small organisation of approximately 90 people, it is a rapidly expanding organisation and there are therefore many projects that are conducted throughout the course of each financial year that require effective planning, management and execution.

These projects span a wide spectrum – from those that are highly visible and involve Council / Committee input and most departments in the organisation (e.g. fee rises), to those that only involve and effect one department (e.g. making systems improvements to LISA).

Since these projects cover an extensive range and will be lead and managed by a variety of people, it is essential from a control perspective that:

1. there is a common understanding of what a project is
2. there is a common understanding of the different types of projects
3. there is a common method of planning and documenting these projects

It is also necessary that there is an organisation-wide agreement on the manner in which projects will be prioritised, scheduled and reported upon.

Therefore this paper puts forward the following:

1. Definition of a project
2. Definition of the different project types
3. Definition of the roles within a project team
4. Definition of required project documentation

5. Definition of project success criteria
6. The HPC process for prioritising and scheduling projects
7. The HPC projects reporting process

Definition of a project

In order to ensure that there is a common understanding of the difference between everyday work and project work, it is proposed that an adapted version of the Prince 2 (industry-standard project management methodology) definition of a project is adopted by HPC:

> A controlled environment that is used to deliver the results defined in a documented Business Case.
>
> Projects have the following characteristics:
>
> 1. A finite and defined lifecycle
> 2. Defined and measurable results
> 3. A set of corresponding activities to achieve these results
> 4. A defined amount of resources
> 5. An organisation structure, with defined responsibilities, to manage the project

Definition of the different project types

Since a more rigorous set of documentation will be required depending on the complexity of the project, the following project definitions have been made:

1. Major projects.
2. Business as usual (BAU) projects.

In addition to this, there are pieces of work that are **Enhancements** that also require planning, review and some documentation.

Major projects

Major projects are those that use large amounts of resources, have a high risk or significant consequences. Further guidelines for definition would be that the project has two or more of the following characteristics:

1. Involves three or more departments and/or;
2. Has a significant public / political impact and/or;
3. Involves a major change to a core business IT system and/or;

4. Involves a major change to a core business process and/or;

5. Has a high impact if the project fails to deliver on time or on budget

Business-as-usual (BAU) projects

Business-as-usual projects are those that involve:

1. Minor changes to business processes.

2. A distinct body of work that falls outside of a single department's day-to-day duties

Enhancements

Enhancements are:

- Minor changes to any IT system

Definition of roles within a project team

Role	Responsibility
Project Lead	The Project Lead is the person that has overall responsibility for the project. They will be instrumental in defining: - What the objectives of the project are. i.e. what the results of the project should be - The level of quality to which the results will be measured - The approach that the project will take – how will the project be conducted - The resources that will be assigned to the project They are responsible for : - calculating the budget required, - for obtaining funding for the project - monitoring spending - reporting to the project sponsor and all stakeholders (e.g. Committees, Council, EMT, the Project Sponsor) - making key decisions around the project approach, as the project

Role	Responsibility
	continues
Project Sponsor	The Project Sponsor is the person that has commissioned and is paying for the project. Due to this they are the key stakeholder.
Project Manager NB In business-as-usual projects the project manager will usually be the same person that takes the project lead role.	The project manager is responsible for: - drafting all project documentation: charter, plan, business requirements (if ness) risk log, issue log, lessons learned log, stage review and end of project report. - ensuring that all project tasks are completed according to the plan deadlines (this may involve scheduling project meetings, ensuring adequate communication amongst the project team, escalating issues to more senior members of staff) - ensuring that the risks and issues are properly managed - ensuring that the project lead is fully aware of the progress of the project, of excessive project spend and of any risks and issues - ensuring that the project team fully considers and evaluates the resourcing requirements of the project - ensuring that the project plan incorporates adequate contingency Additional Major Project Manager duties: - Defining process and documentation for HPC projects - Reporting on major projects to EMT as appropriate (e.g. exception reporting) - Reporting on project portfolio progress to EMT/ Council/ committees - Offering advice to employees on best practise in terms of HPC (business as usual) projects.
Project team	Members of the project group responsible for completing all project tasks. This will include, as a minimum, the senior user and the senior supplier. The members of the team can be either internal or external.
Project stakeholder	Any persons with a significant interest in the project

Definition of required documentation

The following documentation has been identified as obligatory for the three different types of project. The information required in each document is proportionate to the scale and the type of project being undertaken.

Examples of the required documentation templates are attached in the appendices.

No	Major projects	Business as usual projects	Enhancements
1	Charter	Charter	IT helpdesk ticket
2	Project plan	Project plan / milestones	Business requirements
3	Business requirements	Business requirements (IT dept projects only	UAT plan & scenarios
4	UAT plan & scenarios	UAT plan & scenarios (IT dept projects only)	End of project report
5	Process testing plan & scenarios	Process testing plan & scenarios	
6	Issue log	End of project report	
7	Risk log		
8	Lessons learned log		
9	Stage review		
10	End of project report		

No	Document	Definition	Owner
1	Charter	Document that defines the following: - Business case - Project criticality - Project objectives - Project benefits - Project scope - Project team - Risks and Dependencies - Project milestones - Future Business process (if any)	Project manager. Signed off by project team.
1	IT helpdesk ticket		User
2	Project plan / milestones	Document detailing: - Project tasks - Start and Finish dates - Task owners - % complete Or - Main project tasks - Start and Finish dates - Task owners	Project manager. Signed off by project team and resource providers i.e. project team member's manager
2	Project milestones	Summary document showing main project tasks, start and finish dates, task owners	Project lead / manager. Signed off by project team

No	Document	Definition	Owner
3	Business requirements	Document detailing all IT systems changes	Project manager. Signed off by project team & IT supplier
4	UAT plan & scenarios	Document detailing the aims of UAT and all the testing scenarios that must be completed	Technology (written with project team)
5	Process testing plan & scenarios	Document detailing the aims of process testing and all the testing scenarios that must be completed	Project Lead / Team
6	Issue log	Document detailing and tracking all issues encountered during the project	Project manager
7	Risk log	Document detailing and tracking all risks encountered during the project	Project manager
8	Lessons learned log	Document detailing all lessons (positive and negative) learnt during the project	Project manager
9	Stage review	Document used to report progress to stakeholders throughout the project	Project manager. Used by Project lead to report to EMT, Council, committees, stakeholders
10	End of project report	Document to analyse the project: - how it was conducted, - the positives - the negatives and - the result of the project as opposed to the objectives set in the business case	Project manager

Definition of project success criteria

The definition of these criteria will ensure that all projects are assessed in a consistent manner.

Projects are measured in terms of how they deliver in relation to the initial plan/business case:

1. Are they on time?

2. Are they on budget?

3. Are they delivering the defined results to the level of quality specified?

HPC process for prioritising and scheduling projects

In order to ensure that major projects are efficiently planned and budgeted, the following timeline has been established based on the financial year:

No	Timeline	Action
1	September – October	1. Project manager and Dept heads compile list of major projects for the following financial year 2. Project manager and Dept heads prioritise all projects based on HPC prioritisation criteria 3. Projects assessed by EMT & CEO for inclusion in the following financial year's project portfolio
2	November	1. Project manager identifies Project lead, Project sponsor and team and agrees roles 2. Project manager writes charter and agrees it with project team 3. Project manager writes high level project requirements (incl. business requirements, if any) with project team 4. Project manager gathers high level estimates of project costs and resourcing requirements from project leads
3	December	1. EMT & CEO determine, based on costs, business priority and resource availability, which projects will be conducted in the following financial year. 2. EMT & CEO provide sign off.

This financial year timeline is depicted in the Project prioritisation chart in Appendix B

Should an urgent business need for a project arise during the financial year, the project would be assessed in a similar manner as above and if accepted for inclusion, the project portfolio would be re-adjusted to compensate for the new project. i.e. projects will be cut to free up resources and funding.

The prioritisation criteria that will be used are the following:

1. Initiatives that are the result of (Technology) security issues
2. Initiatives that are undertaken due to statutory / policy requirement changes
    a. Initiatives driven by a statutory decision that has defined timeline
    b. Initiatives driven by a policy decision that has defined timeline
    c. Initiatives driven by a business decision that has a defined timeline
    d. Initiatives driven by a statutory decision that does not have a defined timeline
    e. Initiatives driven by a policy decision that does not have defined timeline
    f. Initiatives driven by a business decision that does not have a defined timeline
3. Initiatives that are undertaken to implement better controls within the business areas

4. Initiatives that are undertaken to improve processes that directly effect applicants / registrants (e.g. changes to application forms)
5. Initiatives that are undertaken to create operational efficiencies (e.g. changes to the registration system to allow bulk letters to be generated)

HPC projects reporting process

All HPC major projects will be reported on to EMT on a monthly basis by means of the scorecard attached as Appendix A and will be presented as an element of the Operations report submitted to each Finance and Resources meeting.

As can be seen from the template, each project is given a unique identifier will be used as a cross reference with the financial project reporting. This will be discussed in further detail in the paper entitled Project reporting to be presented today by Simon Leicester.

The scorecard details the following information:

Project ID
Project priority
Project name
Project description
Name of project sponsor
Name of project lead
Indication of progress of key project documentation – charter, plan, business requirements
Overall project budget for the current financial year
Overall project spend for the current financial year
Due date
Status

- This field uses the standard Red, Amber, Green (RAG) ratings to show the status of the project and arrows to show whether the project's status has improved, declined or remained the same since the previous reporting cycle.

It is the responsibility of the Major projects manager to maintain this scorecard – all financial information will be provided by the appropriate project lead.

It is the intention to roll this major projects reporting out on a trial basis from April 2007. Following a six month trial period, consideration will be given to rolling out scorecards in a similar format to Business and Usual projects.

Resource implications

There is a significant administrative overhead to delivering projects in a controlled and effective manner.

Extensive project management methodologies are common practise in large (public and private) organisations; the above proposal is a scaled down version that is appropriate to HPC's requirements and size. However it is essential that such a methodology is adopted in order to prepare for the organisation's ongoing expansion and to continue to provide a quality service that makes best use of registrant fees.

Financial implications
None

Appendices

Appendix A – Major projects scorecard
Appendix B – Project prioritisation timeline
Appendix C – Charter example
Appendix D – Project plan example
Appendix E – Business requirements example

Date of paper
20th November 2006

Appendix A – Major projects scorecard

HPC Major Projects 2006/7 Scorecard

No.	Priority	Project name	Project Description	Project Sponsor	Project Lead	Project Charter	Project Plan	Business Reqs (if IT)	06/07 Budget*	06/07 Spend*	Due Date	Status
MP1	1a	Infrastructure improvement	Testing and upgrade of IT infrastructure to ensure that HPC is secure	R Dunn	T Goulbourne	N	N	N	Internal	Internal	26/01/07	G
MP2	1b	Continuing Professional Development (CPD)	Implementation of processes to audit & track registrants' evidence of CPD.	G Ross-Sampson	C Savage	N	Y	N	£25		30/06/08	A
MP3	1b	On-boarding of the Applied Psychologists	On-boarding of the Applied Psychologists	G Ross-Sampson	C Savage	N	N	N	On hold	On hold	31/12/07	On hold
MP4	1b	On-boarding of Hearing Aid Council	Absorption of the Hearing Aid Council	G Ross-Sampson	C Savage	N	N	N	On hold	On hold	01/04/08	On hold
MP5	1b	Equality and Diversity Project	Revision of equality & diversity policies to ensure HPC is pro-actively eliminating discrimination	M Seale	G Ross-Sampson L Foster	Y	Y	N	£20		20/05/11	G
MP6	1b	Return to Practise	Phase 1 : Creation of forms & guidance notes & rollout of process Phase 2 : LISA enhancement to record RTP	R Houghton	C Harkin	Y	N	Y			Phase 1 : Jul 06 Phase 2 : TBD	Phase 2 on hold
MP7	1c	Registration fee change	Realignment of registration fee charges	M Seale	S Leicester	N	Y	N			15/06/07	G
MP8	2	Fitness to Practise Database	Finalisation of Fitness to Practise database	K Johnson	E Seall	Y	N	N	Internal	Internal	22/09/06	R
MP9	2	Education database	Improvements to existing Approvals MS Access database	G Ross-Sampson	A Creighton	Y	Y	Y	Internal	Internal	31/10/06	G

Key:

Green – Project is due to meet deadline

Amber – Indications are that it is probable that project will miss deadline

Red – Project has missed deadline

⇧ Status of project has improved since last reporting cycle

⇨ Status of project is static since last reporting cycle

⇩ Status of project has declined since last reporting cycle

* All amounts in £000's

HPC Major Projects 2006/7 Scorecard

No.	Priority	Project name	Project Description	Project Sponsor	Project Lead	Project Charter	Project Plan	Business Reqs (if IT)	06/07 Budget*	06/07 Spend*	Due Date	Status
MP10	2	BACS / IP	Upgrade to allow HPC to continue to accept DD payments	S Leicester	M Cheema	Y	N	Y	£10		01/12/06	G
MP11	2	Intermediate Lapsing	LISA enhancement to automate mid-cycle lapsing	S Leicester	S Gillick	Y	Y	Y	£20		02/03/07	G
MP13	3	Updating of Admissions forms	All Admissions forms and guidance notes to be updated & to include CPD and Return to Practise information	R Houghton	J Archibald / Huw Bevan	Y	[illegible]	N	Internal	Internal	10/07/07	G
MP12	3	Online Applications	LISA enhancement to allow applicants to apply & pay online.	G Ross-Sampson	R Houg[illegible]on	[illegible]	[illegible]	N	£12			
MP14	3	Online LISA authentication	Giving registrants the ability to update their personal details online	G Ross-S[illegible]pson	[illegible] Ho[illegible]n	N	N	N	£13.2			
MP15	3	Registration fee calculator	LISA enhancement [illegible] enable Registratio[illegible]s to calculate mid-cycle	G [illegible] Sa[illegible]pson	R Houghton	N	N	N	£25			
MP16	4	Bulk Letter generation	LISA enhancement to allow ad-hoc mail merge runs			N	N	N	£15			
MP17	4	E-pass list upload	LISA enhancement to allow the electronic verification of passlists	R Houghton	C Harkin	N	N	N	Internal	Internal		
MP18	4	HOMER improvements	Extension of HOMER system to include Council members	N O'Sullivan	N O'Sullivan	N	N	N				

Key:

Green – Project is due to meet deadline

Amber – Indications are that it is probable that project will miss deadline

Red – Project has missed deadline

⇧ Status of project has improved since last reporting cycle

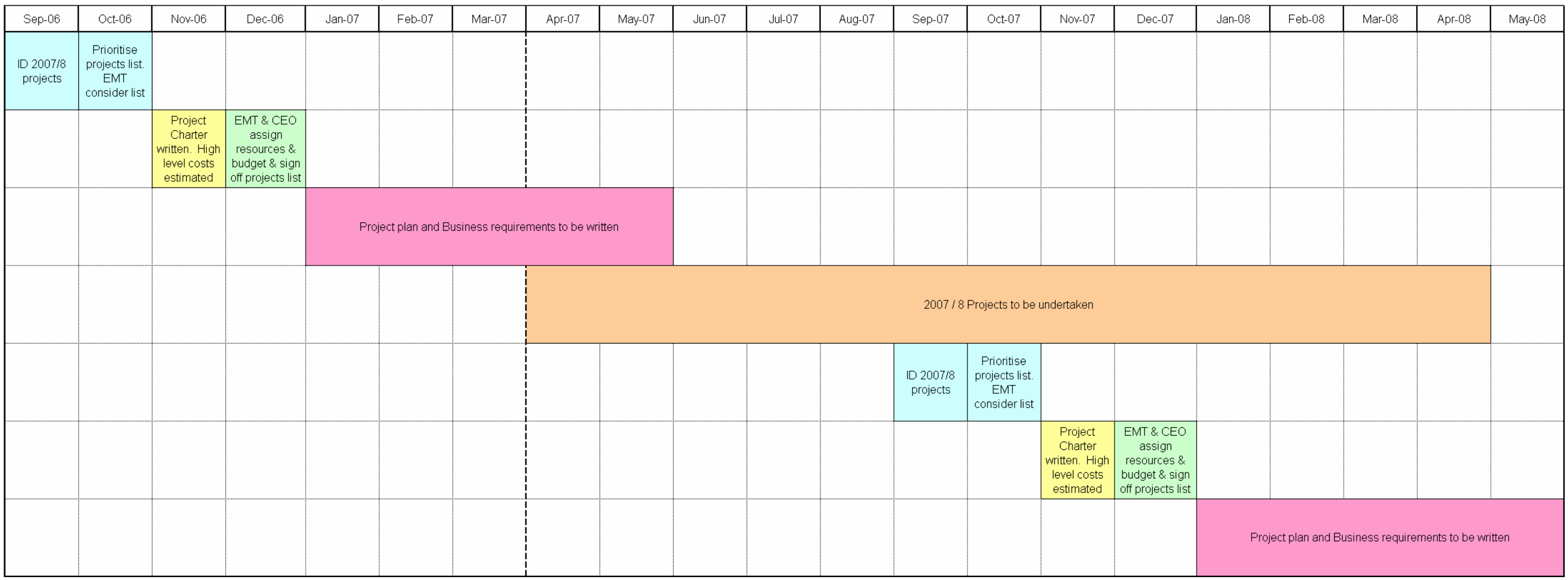
⇨ Status of project is static since last reporting cycle

⇩ Status of project has declined since last reporting cycle

* All amounts in £000's

Appendix B – Project Prioritisation Timeline

HPC Major Projects Prioritisation Timeline



Appendix C – Project Charter Sample

Intermediate Lapsing Charter

Business Case and Problem Statement

Summary:

- Currently if a registrant's payment (Direct Debit, cheque, card payment) fails, the registrant is not removed from the register and notification is manually sent to the registrant informing them of the failed payment. Furthermore notifications are not followed up to ensure that payment is made.
- This project will:
  - Semi-automate the lapsing of the registrant from the register
  - Semi-automate the registrant notification process
  - Improve controls around the fee-payment process

Project Criticality:

- Since there is currently no manual process to notify registrants or to lapse them from the register due to non-payment and there is an ongoing person risk (Transaction Manager in Finance) because of the manual nature of the operation, there is the potential for some Registrants to remain on the HPC Register for up to two years without paying. The implications of this, in some cases, are:
  - An overstatement of accounting income occurs (no mid cycle lapse occurs to trigger the charges coming off, to trigger a reduction in accrued income)
  - A loss of positive cashflow, since no follow up payment is solicited from registrants after the first payment fails

Further implications are that:

  - Record errors arise on the HPC Register from overstating the list of Registrants.
  - A lack of fairness between paid-up Registrants and those failing to pay
- If the process is not semi-automated, insufficient internal controls exist to ensure lapsing omissions are highlighted or that lapsing omissions are activated comprehensively.
- Lack of notification to registrants leads to the request of the accumulated sum owing at renewal. This causes confusion and potential financial difficulty for the registrant. Such confusion and lack of clarity causes HPC reputational damage.
- Lack of notification and the resultant confusion at the time of renewal creates a significant increase in telephone queries and complaints, both for the Finance and Registrations Departments.

Objectives

- To implement a process that will ensure that non-paying registrants are removed from the register within a suitable timeframe
- To implement a process that will, consistently and comprehensively, notify registrants if their payments have failed
- To ensure that the above processes are semi-automated in order to free up Transaction Manager time for higher value activities and reduce person cover risk
- To implement improved controls around the fee-paying process
- To reduce telephone queries and complaints for Finance and Registrations Dept and Registrants

Project Team

Sponsor : Simon Leicester

Project Manager : Claire Phillips

Project Team : Manj Cheema, Shelagh Gillick, Tyrone Goulbourne

Stakeholders : Claire Harkin, Richard Houghton, Roy Dunn

Intermediate Lapsing Charter

Project Scope

In Scope

- Definition of intermediate lapsing process
- Definition of payment-failure process
- Semi-automation of intermediate lapsing process in LISA
- Semi-automation of payment-failure process in LISA
    - Payment-failure automation to include the ability to automatically notify printers of a print run

Out of Scope

- Bulk letter generation for letters other than those regarding payment failure

Risks and Dependencies

- That there will be adequate resources within Finance to perform the following:
    - Define the payment-failure notification process
    - Define the intermediate lapsing process
    - Define and document the LISA business requirements
    - Liase with Technology during the systems build time
    - Test the application modifications, once complete
- That there will be adequate resources within Technology and Digital Steps to implement the business requirements according to the project timeline
- That the fee-paying process will not change during the course of the project
- That the legal requirements around fee charging will not change during the course of the project
- That the printers' automated print-run notification process will not change during the course of the project

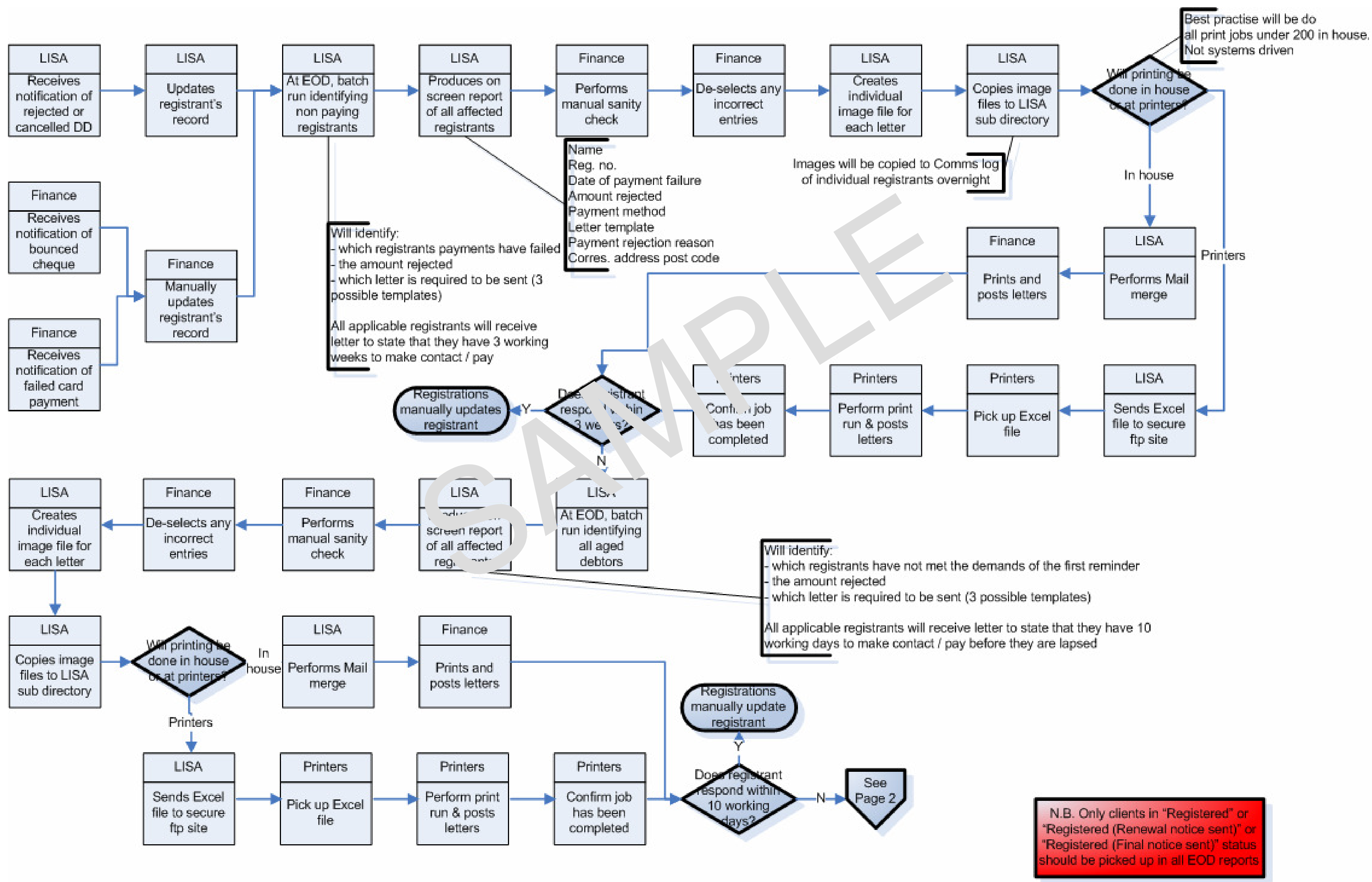
Project Milestones

Process Definition	15th September 2006
Business Requirements Finalisation	20th October 2006
Systems Build Completion	15th December 2006
Systems Testing Completion	26th January 2007
User Acceptance Testing Completion	16th February 2007
Training and rollout	23rd February 2007
Post implementation review	2nd March 2007

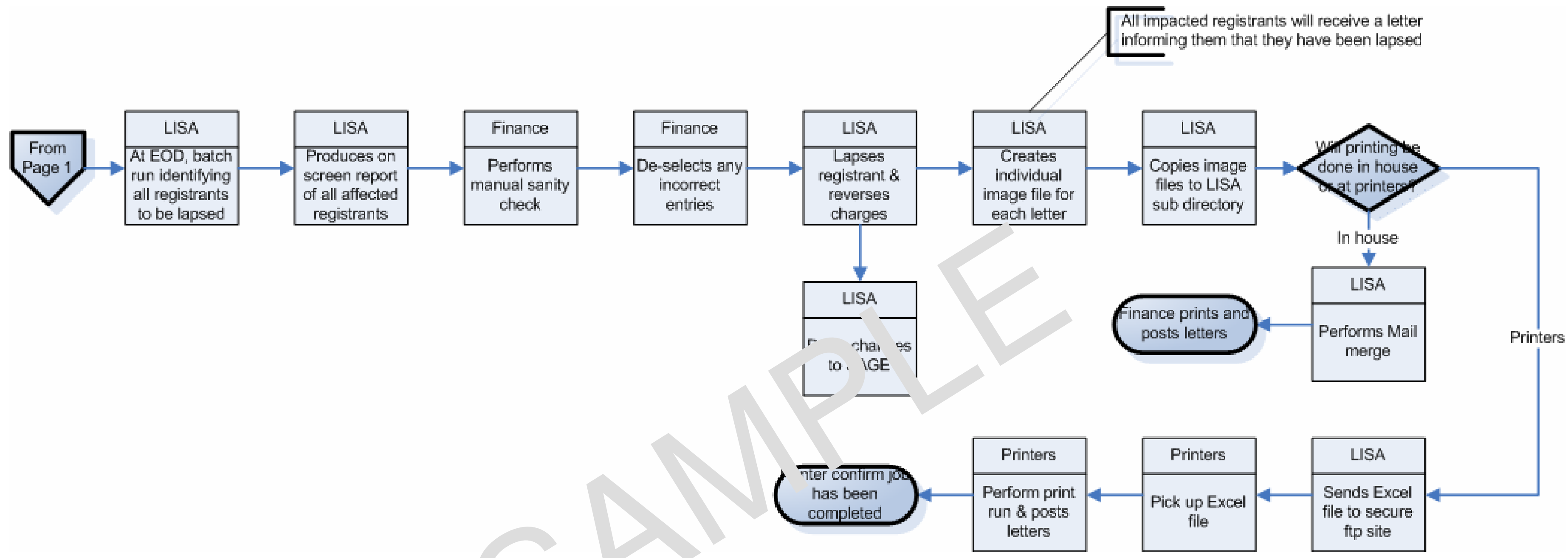
Future Business Process

- Please see attached

Intermediate Lapsing Charter – Process flow



Intermediate Lapsing Charter – Process flow



ID	Task Name	Duration	Start	Finish	3rd Quarter Jul
1	**Application forms and guidance notes project**	**227 days**	**Mon 07/08/06**	**Tue 10/07/07**	
2	**Forms and Guidance notes update**	**151 days**	**Mon 14/08/06**	**Mon 02/04/07**	
3	**Review and Re-write of application forms**	**131 days**	**Mon 14/08/06**	**Mon 05/03/07**	
4	Elicit feedback from professional bodies / stakeholders regarding current form and guidance notes feedback	5 days	Mon 04/09/06	Fri 08/09/06	
5	Receive back feedback from professional bodies / stakeholders	20 days	Mon 11/09/06	Fri 06/10/06	
6	Include modalities information in UK and International forms and guidance notes	117 days	Fri 01/09/06	Mon 05/03/07	
7	**UK Application pack / Readmissions pack**	**50 days**	**Mon 14/08/06**	**Fri 20/10/06**	
8	Review & update Checklist	40 days	Mon 14/08/06	Fri 06/10/06	
9	Review & update Application form	40 days	Mon 14/08/06	Fri 06/10/06	
10	Review & update Payment form	40 days	Mon 14/08/06	Fri 06/10/06	
11	Separate UK form from Readmission form	40 days	Mon 14/08/06	Fri 06/10/06	
12	Combine all forms into one form for UK and one form for Readmission	40 days	Mon 14/08/06	Fri 06/10/06	
13	Incorporate version control to all forms	40 days	Mon 14/08/06	Fri 06/10/06	
14	Re-format forms to be ICR comaptible	10 days	Mon 09/10/06	Fri 20/10/06	
15	**International Application pack**	**50 days**	**Mon 14/08/06**	**Fri 20/10/06**	
25	**Grandparenting Application pack**	**50 days**	**Mon 14/08/06**	**Fri 20/10/06**	
35	**Returners to Practise pack**	**50 days**	**Mon 14/08/06**	**Fri 20/10/06**	
42	**Supplementary forms**	**50 days**	**Mon 14/08/06**	**Fri 20/10/06**	
47	**Review and Re-write of Guidance notes**	**50 days**	**Mon 14/08/06**	**Fri 20/10/06**	
48	**Review& update guidance notes**	**50 days**	**Mon 14/08/06**	**Fri 20/10/06**	
49	Registration / Readmissions guidance notes	50 days	Mon 14/08/06	Fri 20/10/06	
50	Grandparenting guidance notes	50 days	Mon 14/08/06	Fri 20/10/06	
51	International registrations guidance notes	50 days	Mon 14/08/06	Fri 20/10/06	
52	Returners to Practise guidance notes	50 days	Mon 14/08/06	Fri 20/10/06	
53	Create five separate sets of guidance notes: UK registration, International registration, Readmissions, Grandparenting & Returners to Practise	50 days	Mon 14/08/06	Fri 20/10/06	
54	Review / Include Returners to Practise information	50 days	Mon 14/08/06	Fri 20/10/06	
55	Review / Include CPD information	50 days	Mon 14/08/06	Fri 20/10/06	
56	Review / Include cheque payable information	50 days	Mon 14/08/06	Fri 20/10/06	
57	Include payment details & payments section	50 days	Mon 14/08/06	Fri 20/10/06	

Project: Application form project plan
Date: Tue 31/10/06

Task	Milestone	External Tasks
Split	Summary	External Milestone
Progress	Project Summary	Deadline

ID	Task Name	Duration	Start	Finish	3rd Quarter Jul
58	Include convictions information	50 days	Mon 14/08/06	Fri 20/10/06	
59	Include appeals information	50 days	Mon 14/08/06	Fri 20/10/06	
60	Incorporate version control	50 days	Mon 14/08/06	Fri 20/10/06	
61	**Syndication of re-written forms and guidance notes**	**81 days**	**Mon 23/10/06**	**Mon 05/03/07**	
62	**Registrations departments**	**25 days**	**Mon 23/10/06**	**Fri 24/11/06**	
63	Inform UK and International that there will be a period of syndication for the forms and guidance notes	1 day	Mon 23/10/06	Mon 23/10/06	
64	Forward forms and guidance notes to registrations departments	1 day	Tue 31/10/06	Tue 31/10/06	
65	Manage queries arising from registrations departments	5 days	Tue 31/10/06	Mon 06/11/06	
66	Implement any necessary changes	14 days	Tue 07/11/06	Fri 24/11/06	
67	**Internal working group**	**55 days**	**Mon 23/10/06**	**Fri 26/01/07**	
68	Identify key stakeholders to be included in group	5 days	Mon 23/10/06	Fri 27/10/06	
69	Forward forms and guidance notes to internal working group	1 day	Mon 27/11/06	Mon 27/11/06	
70	Manage queries arising from internal working group	15 days	Mon 27/11/06	Fri 15/12/06	
71	Implement any necessary changes	15 days	Mon 08/01/07	Fri 26/01/07	
72	**Sample of Registrants and Applicants**	**60 days**	**Mon 23/10/06**	**Fri 02/02/07**	
73	Liaise with Stakeholder Manager to arrange a syndication period with a sample of registrants and applicants	1 day	Mon 23/10/06	Mon 23/10/06	
74	Arrange syndication period with registrants and applicants	15 days	Mon 23/10/06	Fri 10/11/06	
75	Forward forms and guidance notes to registrants and applicants	1 day	Mon 27/11/06	Mon 27/11/06	
76	Manage queries arising from registrants and applicants	20 days	Mon 27/11/06	Fri 12/01/07	
77	Implement any necessary changes	15 days	Mon 15/01/07	Fri 02/02/07	
78	**Legal approval**	**10 days**	**Mon 23/10/06**	**Fri 03/11/06**	
79	Forward edited version of forms to Johnathon Bracken for legal approval	1 day	Mon 23/10/06	Mon 23/10/06	
80	Manage queries arising from Johnathon Bracken	5 days	Tue 24/10/06	Mon 30/10/06	
81	Implement any necessary changes	4 days	Tue 31/10/06	Fri 03/11/06	
82	**Plain English**	**21 days**	**Mon 05/02/07**	**Mon 05/03/07**	
83	Submit guidance notes and forms for Plain English editing	1 day	Mon 05/02/07	Mon 05/02/07	
84	Manage Plain English editing process	20 days	Mon 05/02/07	Fri 02/03/07	
85	Receive forms back from Plain English	1 day	Mon 05/03/07	Mon 05/03/07	
86	**Sign off of forms and guidance notes**	**39 days**	**Mon 05/02/07**	**Thu 29/03/07**	

Project: Application form project plan
Date: Tue 31/10/06

Task | Milestone | External Tasks
Split | Summary | External Milestone
Progress | Project Summary | Deadline

ID	Task Name	Duration	Start	Finish	3rd Quarter Jul
87	Submit forms & guidance notes to EMT for review and sign off	1 day	Tue 06/03/07	Tue 06/03/07	
88	Prepare paper for Council and ETC to explain and justify the changes made	10 days	Mon 05/02/07	Fri 16/02/07	
89	Submit paper, forms & guidance notes to Secretariat for inclusion on Education and Training Committee agenda	1 day	Mon 19/02/07	Mon 19/02/07	
90	Submit paper, forms & guidance notes to Secretariat for inclusion on Council agenda	1 day	Mon 19/02/07	Mon 19/02/07	
91	Present paper and forms for sign off by Education and Training	1 day	Wed 28/03/07	Wed 28/03/07	
92	Present paper and forms for sign off by Council	1 day	Thu 29/03/07	Thu 29/03/07	
93	**Website update**	**141 days**	**Mon 28/08/06**	**Mon 02/04/07**	
94	Devise and document improved form access method	5 days	Mon 28/08/06	Fri 01/09/06	
95	Liaise with Tony to ensure that method can be technically implemented	5 days	Mon 04/09/06	Fri 08/09/06	
96	Prepare website for new form access method, forms and guidance notes	10 days	Mon 11/09/06	Fri 22/09/06	
97	Forward forms and guidance notes to Tony for inclusion on the website	1 day	Fri 30/03/07	Fri 30/03/07	
98	Update website with forms, guidance notes and revised form access method	1 day	Mon 02/04/07	Mon 02/04/07	
99	**Technology updates**	**70 days**	**Fri 30/03/07**	**Thu 05/07/07**	
100	**LISA update**	**70 days**	**Fri 30/03/07**	**Thu 05/07/07**	
101	Identify areas where LISA can be improved to streamline operational entry	5 days	Fri 30/03/07	Thu 05/04/07	
102	Write Business requirements for LISA inputting changes	10 days	Fri 06/04/07	Thu 19/04/07	
103	Liaise with Technology to implement changes in LISA	15 days	Fri 20/04/07	Thu 10/05/07	
104	Build changes in LISA	25 days	Fri 11/05/07	Thu 14/06/07	
105	Test changes in LISA	15 days	Fri 15/06/07	Thu 05/07/07	
106	**Miscellaneous**	**227 days**	**Mon 07/08/06**	**Tue 10/07/07**	
107	**Communications, Training and Rollout**	**225 days**	**Mon 07/08/06**	**Fri 06/07/07**	
108	Update Registrations staff on project progress - post registration department syndication	1 day	Mon 27/11/06	Mon 27/11/06	
109	Update Registrations staff on project progress - post syndication process	1 day	Mon 05/02/07	Mon 05/02/07	
110	Update Registrations staff on project progress - post Council sign off	1 day	Fri 30/03/07	Fri 30/03/07	
111	Update Registrations staff on project progress - post LISA update	1 day	Fri 15/06/07	Fri 15/06/07	
112	Update Registrations staff on project progress	1 day	Fri 06/07/07	Fri 06/07/07	
113	Training of staff on new forms & LISA system	1 day	Fri 06/07/07	Fri 06/07/07	

Project: Application form project plan
Date: Tue 31/10/06

Task	Milestone	External Tasks
Split	Summary	External Milestone
Progress	Project Summary	Deadline

ID	Task Name	Duration	Start	Finish	3rd Quarter Jul
114	Training of staff on Online Applications	1 day	Mon 07/08/06	Mon 07/08/06	
115	Roll out of new forms	1 day	Mon 02/04/07	Mon 02/04/07	
116	Roll out of new online apps and LISA processing	1 day	Fri 06/07/07	Fri 06/07/07	
117	**Post Implementation Review**	**2 days**	**Mon 09/07/07**	**Tue 10/07/07**	
118	Review of project implementation process	1 day	Mon 09/07/07	Mon 09/07/07	
119	Publication of post implementation review findings END OF PROJECT	1 day	Tue 10/07/07	Tue 10/07/07	

Project: Application form project plan
Date: Tue 31/10/06

Task
Split
Progress
Milestone
Summary
Project Summary
External Tasks
External Milestone
Deadline

Appendix E – Business requirements example

Business Requirements

Health Professions Council – Return to Practise (RTP)

Claire Phillips

1 Introduction

This proposal outlines changes to the Return To Practise (RTP) procedure within LISA.

2 Business Case

Currently, if a registrant does not practise for more than two years HPC regulations require that the registrant undertakes a defined period of supervised practice before readmission.

The policy has been amended so that not only registrants that have been out of practise for more than 2 years must update (re-admissions), but also first time applicants whose approved qualification is over 5 years old (Historic Qualifications).

The requirements for updating have been altered to allow registrants to update their knowledge and skills through a combination of:

- supervised practice;
- formal study or
- private study.

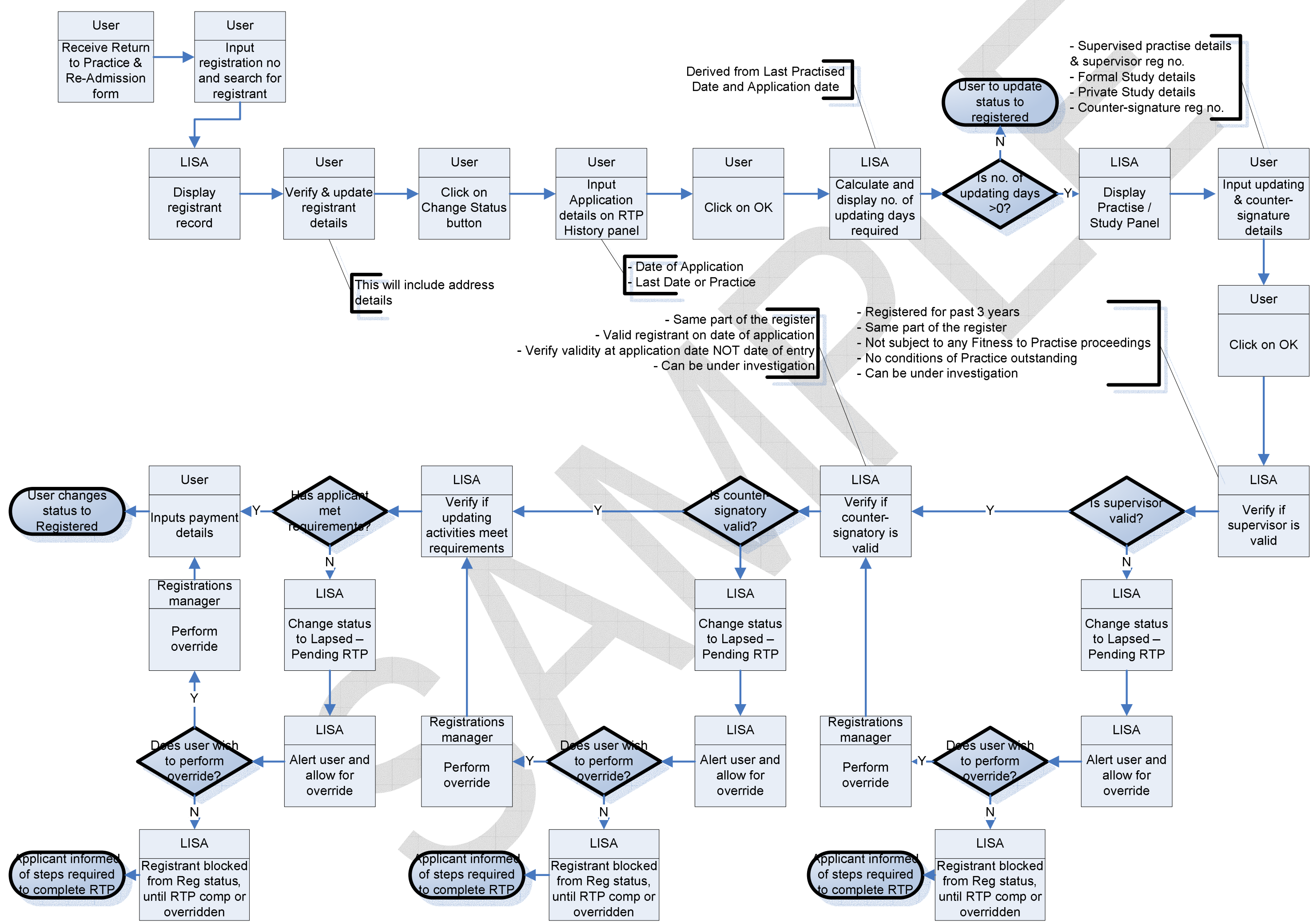
A declaration that these activities have been undertaken by the registrant must be presented to HPC. This declaration must be counter-signed by a registrant on the same part of the Register.

The LISA system is required to :

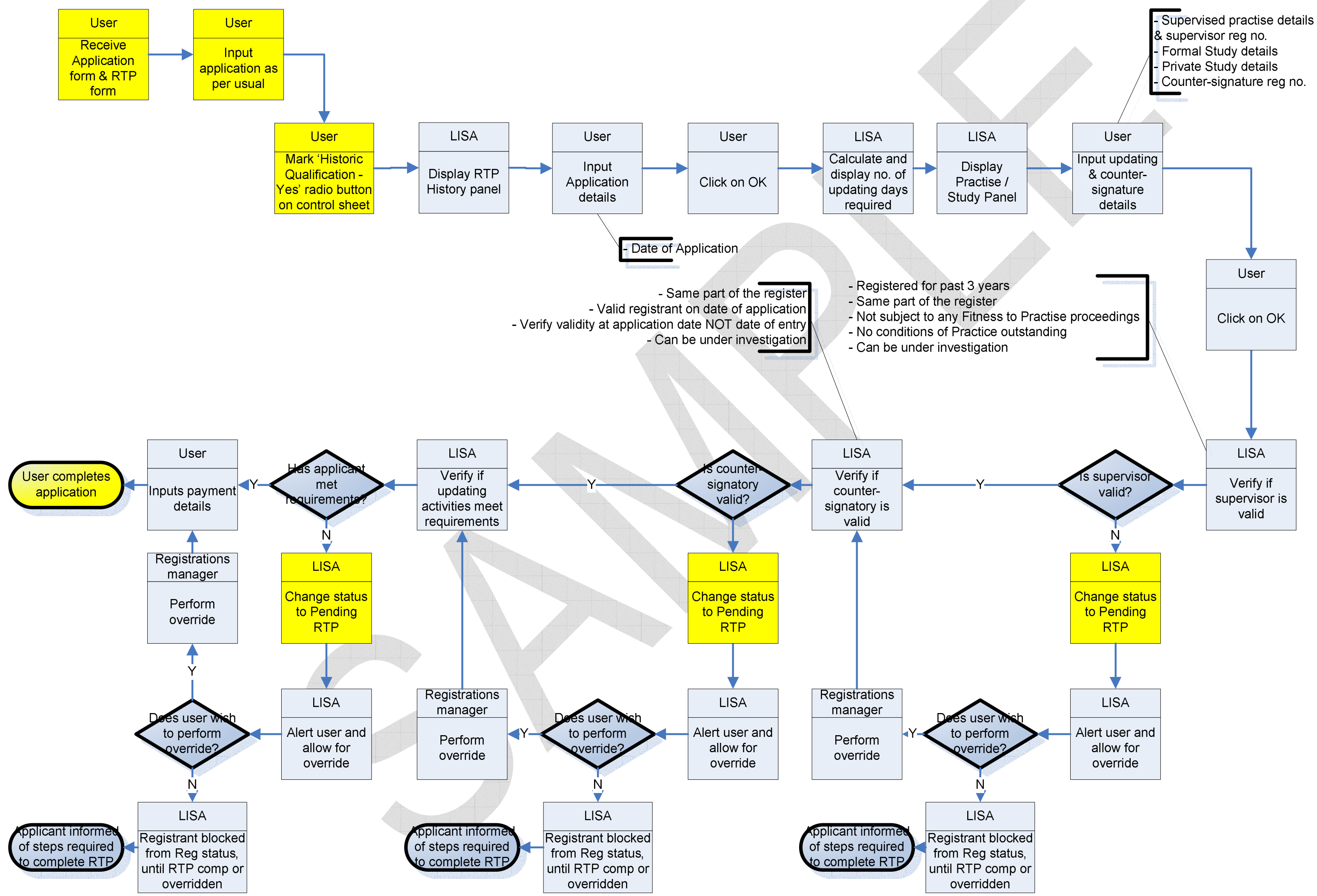
1. Capture the number of days that the registrant has undertaken each of the activities
2. Calculate whether the number of days of updating undertaken is adequate to meet HPC RTP requirements
3. Verify whether the registrant has been supervised by a qualified person (if supervised practice has been undertaken)
4. Verify whether the counter-signatory is a valid registrant

3 Workflows

3.1 Re-admissions



3.1 Historic Qualifications

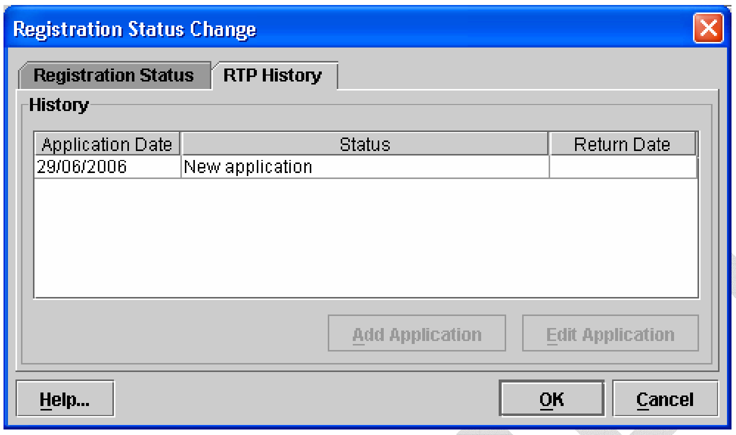


4 LISA Changes

4.1 RTP Application Window

4.1.1 RTP History Panel – **See Wireframe 5.1**

4.1.1.1 The existing RTP History Panel will be modified to contain a field titled 'Date of Application'; this will be a user-inputted date field. The field will have 3 entry boxes and will be in the format dd/mm/yyyy. This field will be mandatory in all cases.



4.1.1.2 The existing RTP History Panel will be modified in order to allow the User to manually enter the Last Date of Practise. The field will have the label Last Date of Practise, will have 3 entry boxes and will be in the format dd/mm/yyyy.

This field will be used to drive the calculation as to how many days of updating activities the Registrant is required to undertake.

The calculation must be driven from this date rather than the last date of registration in order to accommodate those registrants that have not been on the HPC Register, but have been practising abroad.

The field should not be pre-populated.

4.1.1.3 The existing RTP History Panel will be modified in order to allow the User to indicate that the registrant's qualification is over five years old, that they are a first-time registrant and have not been practising abroad in the last two years.

The field will be a tick box and will be called 'First time registrant with historic qualification'.

If this box is ticked, the registrant is required to complete 60 days updating activity.

It will be mandatory for the User to input EITHER the Last Date of Practise OR to tick the 'First time registrant with historic qualification' box.

The information input into the Last Date of Practise, the 'First time registrant with historic qualification' tick box and the application date fields will be saved onto the application should a further RTP application be required to be input in the future. The same will apply for the calculated number of updating days required.

4.1.1.3 All previously entered RTP applications will be able to be viewed (by displaying the Practise / Study panel) by double clicking on the entry created in the History window.

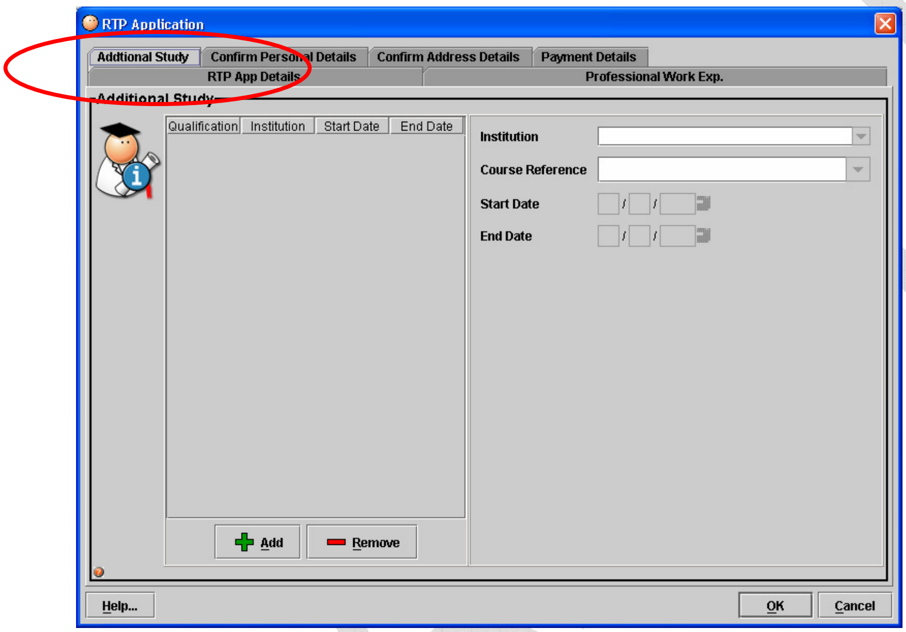
The Edit Application button will be changed to read as 'Edit RTP'. This button will be used to access and edit any unlocked RTP applications that have been selected in the History window (all RTP applications are locked once the registrant moves into ‘Registered’ status.

4.1.1.4 The OK button (currently redundant on this panel) will be activated in order to save the data input on the panel and to calculate the number of days of updating activities the registrant must undertake to be re-admitted.

The user will input the Last Date of Practise or will tick the ‘First time registrant with historic qualification box’, will then click on OK and the system will calculate the number of days updating that the registrant is required to undertake.

The system will then display the number of days updating required of the registrant, next to the Last Date of Practise.

Should the number of updating days required be greater than zero, the system will initiate an application and display the Additional Study (to be renamed Practise/Study) panel:



4.1.1.5 If the number of days updating is zero, the system will display the number of days updating required as ‘0 days’ and the user will click on cancel to re-navigate to the Registration Status page to update the status as per usual.

4.1.1.6 If an RTP history application is created, all data entered / displayed onto the RTP History Panel (i.e. Last date of practise, date of application and the calculated number of updating days required) will be copied onto the application and will be displayed on the Practise / Study page. The data will then clear from the RTP History panel.

4.2 New Statuses required

4.2.1 New Registrant status

4.2.1.1 A new status must be added called 'Lapsed – Pending RTP'. If a registrant has been placed in 'Lapsed – Pending RTP' status as the system has calculated that the RTP requirements have not been met, the status cannot be changed to registered without the RTP criteria being met or the system decision being overridden.

4.2.2 New Application status

4.2.2.1 A new status must be added called 'Pending RTP'. If an application has been placed in 'Pending RTP' status as the system has calculated that the RTP requirements have not been met, the system cannot create a registration record for the client (and place the registrant in 'Registered' status) without the RTP criteria being met or the system decision being overridden.

4.3 RTP Application Panel

4.3.1 Tabs to be removed

4.3.1.1 The following tabs should be removed from the system as they are either not used or duplication of functionality in other areas of the system:

- Confirm Personal Details
- Confirm Address Details
- Payment Details
- Professional Work Exp.
- RTP App Details

4.3.2 Additional Study Tab – **see Wireframe 5.2**

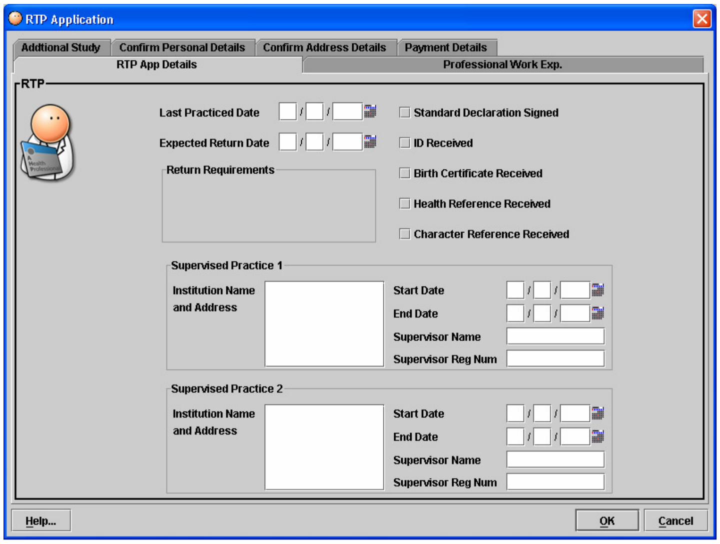
4.3.2.1 The existing 'Additional Study' panel will be renamed to 'Practise/Study' and split into three sections:

- The current qualification-based study, renamed 'Formal Study'
- A 'Private Study' section where a registration officer records the registrant's period of non-institutional study (in days).
- The 'Supervised Practise' fields will be moved to this Study panel from the RTP App Details panel and restructured to use the same enter/display method as the current 'Additional Study'.

It will be possible to remove entries from the Formal Study and Supervised Practise lists.

4.3.2.2 The Formal Study terminology will be renamed in the following manner:

- The label 'Course Reference' will be changed to 'Course Title'
- The label 'Qualification' will be changed to 'Course Title'



4.3.2.3 The Supervised Practise fields and terminology will be altered in the following manner:

- The label 'Institution Name and Address' will be changed to Organisation
- The field and label 'Supervisor Name' will be removed
- The field and label 'Last Practiced Date' will be removed
- The field and label 'Expected Return Date' will be removed
- The 'Return Requirements' box will be removed
- The field and label 'Standard Declaration signed' will be removed
- The field and label 'ID Received' will be removed
- The field and label 'Birth Certificate Received' will be removed
- The field and label 'Health Reference Received' will be removed
- The field and label 'Character Reference Received' will be removed

4.3.2.4 An extra field will be incorporated into this new Practise / Study panel titled 'Application Date' and will be auto-populated from the RTP History page

4.3.2.5 An extra field will be incorporated into this new Practise / Study panel titled 'Last Date of Practise' and will be auto-populated from the RTP History page

4.3.2.6 An extra field will be incorporated into this new Practise / Study panel titled 'No of Updating days required' and will be auto-populated from the RTP History page

4.3.2.7 An extra field will be incorporated into this new Practise/Study panel titled 'Countersignature' and will be a user-inputted text field for a registration number. This field will be mandatory in all cases

4.3.2.8 An extra field will be incorporated into this new Practise/Study panel titled 'Total Practise / Study days' and will be a user-inputted numeric field. This field will be mandatory in all cases.

4.3.2.9 An extra field will be incorporated into this new Practise / Study panel titled 'RTP Criteria Not Met:' and will be populated by the system if the counter-signatory, supervisor of number of days do not meet the RTP criteria.

4.3.2.9 Once the information has been input by the user, the user will click on OK. The system will save the data input, then check that the Countersignature Reg. No. and the Total Practise / Study Days have been input.

The OK button will also initiate the validation of the supervisor, the countersignature and the number of updating days required. (See Rules Changes)

Re-admissions If any mandatory fields have not been populated, the system will generate a notification to the user stating which fields require input - this notification can be cleared by the user.

Once all mandatory fields have been entered, if RTP criteria have not been met, the system will place the registrant in 'Lapsed-Pending RTP' status (this is a new status that will need to be created) and will display the reasons for failure in the 'RTP Criteria Not Met:' field. (See Rules Changes for further details)

If all the mandatory fields have been populated and the RTP criteria have been met, the system closes the Practise / Study panel and takes the user back to the registrant's record. The user will then go on to manually change the registrant's status to Registered.

Applicants with Historic Qualifications If any mandatory fields have not been populated, the system will generate a notification to the user stating which fields require input - this notification can be cleared by the user.

Once all mandatory fields have been entered, if RTP criteria have not been met, the system will place the application in 'Pending RTP' status (this is a new status that will need to be created) and will display the reasons for failure in the 'RTP Criteria Not Met:' field. (See Rules Changes for further details)

If all the mandatory fields have been populated and the RTP criteria have been met, the system closes the Practise / Study panel and takes the user back to the application record. The user will then go on to complete the application.

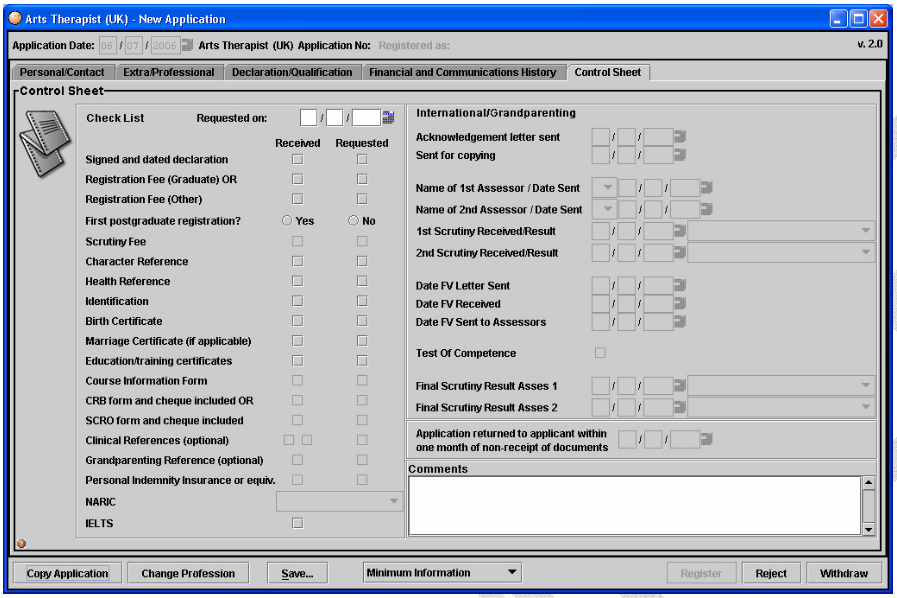
4.3.2.10 An extra field will be incorporated into the new Practise / Study panel titled 'Override reason'. This field will only be editable by Registrations managers and will only appear when either the registrant has been moved into 'Lapsed-Pending RTP' status or a new application has been placed into 'Pending RTP' status.

The registrations manager will be able to enter an override reason on the Practise / Study page and click OK which will then save the data, will close the Practise / Study window, will return the user to the application or the registrant's record. The user will then either complete the application or manually change the registrant's status to Registered.

4.4 Control Sheet

4.4.1 Additional field to be added – **see Wireframe 5.3**

4.4.1.1 An additional ‘Historical Qualification? Y / N’ field will be added. When radio button ‘Yes’ is selected, the system will navigate to the RTP History panel to allow updating activity information to be added.



4.4.1.2 If the ‘Historical Qualification? Yes’ radio button has been activated, the Register button will be greyed out until the RTP qualifications have been met or a negative systems decision has been overridden.

4.4.1.3 The Check List questions will be re-ordered as per wireframe 5.3.

4.5 Rules Changes

4.5.1 Calculation of Number of Updating Days Required

4.5.1.1 Currently, depending on the time away from practise, an applicant must complete a set number of supervised practise days as outlined below:

Number of years away from practise*	**Requirements**
Up to two	None
Between two and five	At least 30 days
More than five	At least 60 days

*Where the "Number of years away from practise" is based on the last registered date.

This will be changed to allow a proportion of those days to be covered by formal and/or private study. This calculation will be derived from the Last Date of Practise and the Application Date (as entered on the 'RTP History' tab):

Number of years away from practise	**Requirements**
Up to two	None
Between two and five	At least 30 days supervised practise OR at least 30 days formal study OR up to 15 days private study with the remainder made up of formal study or supervised practise
More than five	At least 60 days supervised practise OR at least 60 days formal study OR up to 30 days private study with the remainder made up of formal study or supervised practise

In addition, if an applicant has never been registered with HPC, has an approved qualification that is over five years old and has not worked abroad in the last two years, they are required to meet the 'more than five years away from practise' requirements.

When completing the RTP application the entered supervised, formal study and private study days are validated against these rules.

Re-admissions If the Total number of Practise / Study Days does not meet the calculated 'No of Updating days required' the system places the registrant in 'Lapsed – Pending RTP' status and displays the reasons for failure in the 'RTP Criteria Not Met:' field.

Applicants with Historic Qualifications If the Total number of Practise / Study Days does not meet the calculated 'No of Updating days required', the system places the application into 'Pending RTP' status and displays the reasons for failure in the 'RTP Criteria Not Met:' field.

4.5.2 Supervisor

4.5.2.1 The supervisor registration number is checked to ensure on the Date of Application (as entered by the User on the Practise/Study tab) they:

- are a registered registrant,
- are of the same profession as the applicant
- have been registered for at least three years
- are not subject to any Fitness to Practise proceedings i.e. they must not be cautioned
- have no Conditions of Practice imposed upon them

The Supervisor can however be under investigation.

Re-admissions If the supervisor listed does not meet the criteria above, the system places the registrant in ‘Lapsed – RTP pending’ status, notifies the user and displays the reasons for failure in the ‘RTP Criteria Not Met:’ field.

Applicants with Historic Qualifications If the supervisor listed does not meet the criteria above, the system places the application into ‘Pending RTP’ status and displays the reasons for failure in the ‘RTP Criteria Not Met:’ field.

4.5.3 Countersignature

4.5.3.1 The counter-signatory to an applicant’s study periods must be a valid registrant on the same part of the Register, at the time of RTP application, as determined by checking within the LISA register, using the Date of Application (as entered by the User on the RTP History panel).

The counter-signatory can however be under investigation.

Re-admissions If the counter-signatory does not meet the criteria above, the system places the registrant in ‘Lapsed – RTP pending’ status and displays the reasons for failure in the ‘RTP Criteria Not Met:’ field.

Applicants with Historic Qualifications If the counter-signatory does not meet the criteria above, the system places the application in ‘Pending RTP’ status and displays the reasons for failure in the ‘RTP Criteria Not Met:’ field.

A counter-signatory registrant that enters FTP or is lapsed after the application has started is still a valid counter-signatory.

A Countersignature is always required regardless of the activities undertaken.

4.5.4 Override functionality

4.5.4.1 If the system has placed the registrant in ‘Lapsed – Pending RTP’ status or an application in ‘Pending RTP’ status, the registrations manager will be able to enter an override reason on the Practise / Study page and click OK which will then move the registrant into ‘Registered’ status.

The override functionality is required for various different circumstances.

E.g. Operating Department Practitioners have not been on the register for 3 years, therefore no ODPs will currently qualify as Supervisors. This case will be replicated each time an aspirant group is taken onto the register.

4.5.5 Statuses

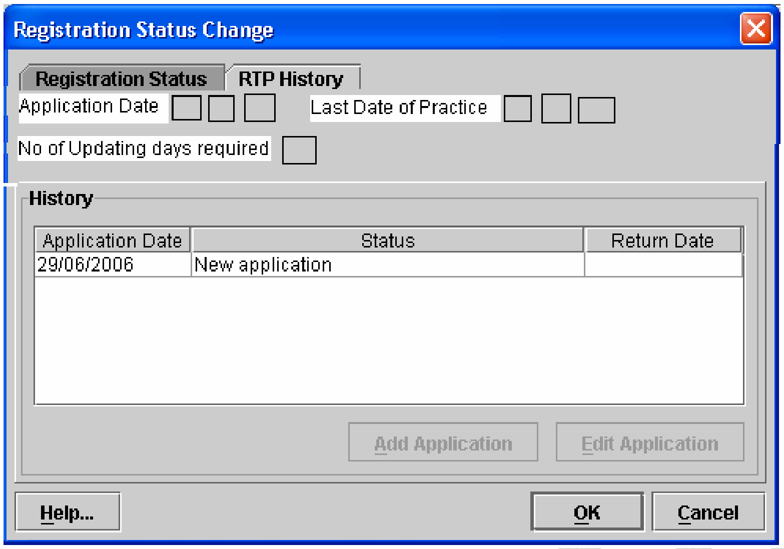
4.5.5.1 If a registrant has been placed in ‘Lapsed – Pending RTP’ status as the system has calculated that the RTP requirements have not been met, the status cannot be changed to ‘Registered’ without the RTP criteria being met or the system decision being overridden.

4.5.5.2 If an application has been placed in ‘Pending RTP’ status as the system has calculated that the RTP requirements have not been met, the system cannot create a registration record for the client (and place the registrant in ‘Registered’ status) without the RTP criteria being met or the system decision being overridden.

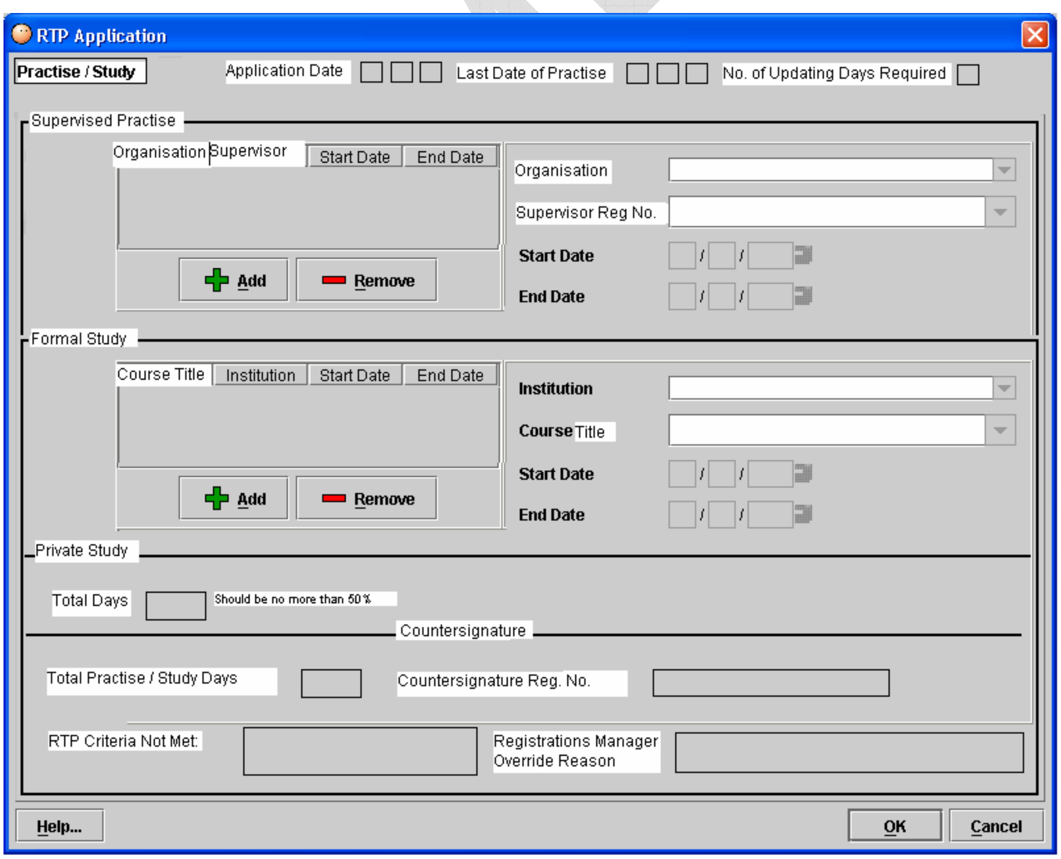
4.5.5.3 If a registrant / applicant has been subject to RTP, has passed all criteria (or a negative system decision has been overridden), the RTP record must be locked from editing. However the record should be stored and accessible by double clicking on the entry which will be listed in the History window of the RTP History panel.

5 Wireframes

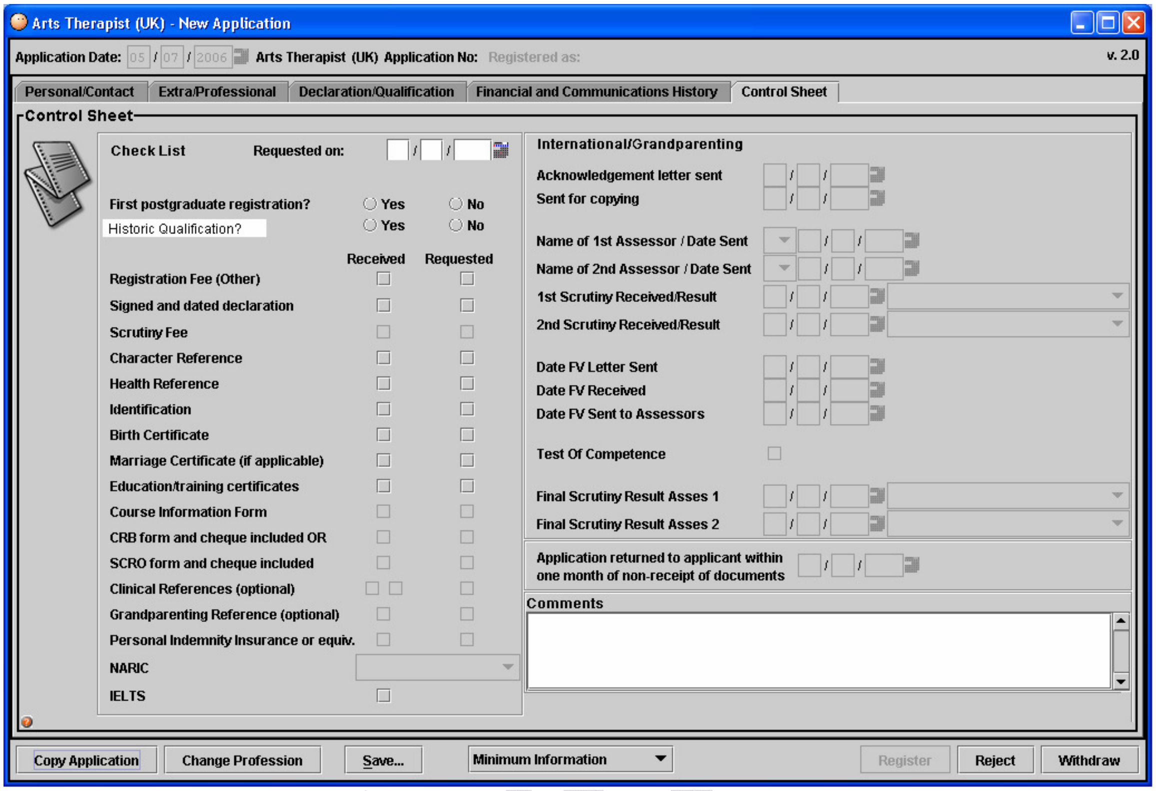
5.1 RTP History page



5.2 Additional Study Panel (to be renamed Practise / Study Panel)



5.3 Control Sheet



This document template is to be used for smaller scale projects where investment is under £10,000 including VAT

Overview of Requirements – the business case

Project Role	Number of People	Days per Week	Total Days for the Project
Claire Phillips – Project Manager	1		
Richard Houghton – Project Sponsors	1		
IT Support/Project Assurance ▪ Roy Dunn ▪ Craig Kjelvei	2		
– Customer champion	1		
– Senior User/Project Assurance o UK Registrations (Claire Harkin)	1		
– User/Project Assurance (Operations Directorate)	1		

Project Milestones

- Rewrite and publish on internet Return to Practise forms and guidance notes – July 2006
- Redesign RTP section of LISA to allow UK Registrations to record RTP activities undertaken – July 2006

Risks

- Adequate budget and IT resources (including external) will not be available to implement policy in LISA
- Adequate resources will not be available within UK Registrations to redesign the Apply section of the HPC intranet and the RTP forms and Guidance Notes
- Adequate resources will not be available within UK Registrations to design a robust RTP procedure

Issues

- Restrictive timeline

Costs

- **IT development costs**

Benefits

- This project will allow for the accurate and systematic recording of applicants / registrants RTP activities (this is a policy driven initiative)

Dependencies

- Dependency on external printers to produce Quark version of forms and guidance notes in timely manner
- Dependency on external systems developers to produce updated version of LISA in timely manner

Stakeholders

- Policy and Standards Department
- Quality Department
- IT Department
- UK registrations
- International registrations

Training requirements

- Training on latest LISA version required for UK registrations – to be performed by Claire Harkin
- Training on new process required for UK registrations – to be performed by Claire Harkin

Communications plan

- Communication has been posted on website regarding roll out of new policy in July, since March 2006
- Further instructions to registrants on new process will be posted as soon as the forms are available for distribution
- UK registrations staff have been informed of impending new process and will be given further details during training
- On date of roll out communication will be sent out to remaining staff to ensure all are aware of new process.