

Finance and Resources Committee, 30 July 2009

Case Management System Research Project

Executive summary and recommendations

Introduction

The purpose of this paper is to provide the committee with an update on the Case Management System Research Project. Attached to this paper as an appendix is the project brief and the high level project plan.

A number of systems are used to manage the functions within the Fitness to Practise department. Those systems include separate databases for the Health and Character, Prosecution of Offences, Registration Appeals and Fitness to Practise (including case management and events (tribunal) management) processes.

At the end of the research project it is anticipated that we will have undertaken a full scale review of the existing processes and produced a business case and a proposed solution for a case management system

The key milestones for the project are as follows:

10 July 2009:	Complete project initiation
10 August 2009:	Complete review of existing systems
10 August 2009:	Complete review of existing processes (including risks)
18 September 2009:	Functional and non functional requirements gathering
2 November 2009:	Solutions architecture design
11 December 2009:	Compilation of business case for proposed solution

Decision

This paper is for information only. No decision is required.

Background information

None

Resource implications

The project team is as follows:

Project Lead:	Kelly Johnson
Senior Supplier:	Guy Gaskins

Senior Users: Eve Seall and Alison Abodarham
Project Team: Rick Welsby, Simon Thompson, Grant Edgeworth, Rachel Bull, Jameel Anwar and Anaru Smiler

Financial implications

Capital Expenditure - £134,000
Operating Expenditure - £11,400

The operating expenditure for this project includes a budget of £5,400 for temporary staff to backfill those individuals in substantive posts who are on the project team. This particularly provides for those within the hearings team so as to ensure the scheduling of hearings take place as per normal operating practice.

The capital expenditure includes budget to engage consultants to aid us in the mapping of business processes and to seek expert advice in areas such as reporting and systems design.

We have engaged a business analyst to aid us in the mapping of the existing departmental processes and capture ideas for the 'to be' processes.

Appendices

FTP Case Management System Research Brief

FTP Case Management System High Level Project Plan

Date of paper

17 July 2009

FTP Case Management System Research Project Brief

Project Background

To currently manage the functions within the FTP Department a number of systems are used to run the following processes : Health and Character, Prosecution of Offences, Registrations Appeals and Fitness to Practice.

The current systems and processes are fit for purpose but have grown organically. To ensure that the projected growth in FTP volumes is effectively managed, associated risks and inefficiencies must be controlled. Therefore an analysis of the options available to consolidate the systems should be considered.

Completion of the research project will result in a review of existing processes, the production of a business case and a proposed solution for a reliable, central case management system that will allow the department to work more efficiently and in a more integrated manner.

Project Definition

Project Objectives

- To review all FTP departmental processes
- To create a business case for the proposed solution to an integrated FTP management system/s
- To create a design for an integrated FTP management system/s

Project Scope and exclusions

In scope

- FTP process review
- Documentation of processes
- Design of a flexible scalable solution to manage the 4 key FTP functions: Health and Character, Prosecution of Offences, Registrations Appeals and Fitness to Practice
- Design of a solution to manage FTP documents and records
- Functional requirements gathering
- Non-functional requirements gathering
- Reporting requirements gathering
- Feasibility study of creating an integrated system
- Decision on solution design approach
- Systems design (if appropriate)
- System to be limited to FTP department
- Business case and project plan for implementing an integrated solution
- OLAP functionality assessment (trends analysis)

Out of scope

- Case level cost reporting
- System build
- Creating a system to provide documents to be admissible in tribunal or similar proceedings
- Design of system to update other systems including Net Regulate
- Review of non FTP processes
- Design of system to integrate with case management systems used in external organisations
- Design of system to record time spent on cases by employees
- Design of system to be accessible by external organisations
- Design of system to be accessible by Partners

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Status Draft Int. Aud. Internal
DD: None RD: None

FTP Case Management System Research Project Brief

Project Definition	
<p>Outline project deliverables and / or desired outcomes</p> <ul style="list-style-type: none"> - Documented processes and procedures - Business case for 'build' project - Project plan for 'build' project - Functional requirements - Non functional requirements - Reporting requirements - Systems (technical, data application) architecture (if appropriate) - Training requirements - Project approach for 'build' project - FTP department and organisation-wide buy-in - Stakeholder feedback to proposed solution - Third party vendor engagement (if appropriate) - All project related documentation 	
<p>Constraints</p> <ul style="list-style-type: none"> - Budget - Project team resources - Legal requirements - Stakeholder requirements - Conflicting business priorities 	<p>Interdependencies with other projects</p> <ul style="list-style-type: none"> - None
<p>Assumptions</p> <ul style="list-style-type: none"> - That case numbers will increase - That HPC will continue to have an case management and adjudication function - No future requirement for legal admissibility of documentation from the system - That existing systems will be compatible e.g. Net Regulate - That all functions could be managed from the same system 	<ul style="list-style-type: none"> - That there is no change in the existing staffing forecast as a result of the system being implemented - That the system will only be used by HPC employees - That the solution will be proportionate and appropriate - That appropriately knowledgeable employees will be available during the key stages of the project

FTP Case Management System Research Project Brief

Outline Business Case

How the project supports the business strategy

To improve the process and performance of the organisation this project will review all current business processes and systems

To promote best practice in regulation this project will endeavour to design a solution to ensure HPC continues to manage in a controlled, efficient and effective manner the work of the FTP department.

The project will aim to ensure that we maintain and develop efficient business processes throughout the organisation as it grows

The project will aim to provide a system to ensure that we are able to increase understanding and awareness of regulation amongst all stakeholders and build the evidence base of regulation through continued provision of accurate data and information.

Reasons why the project is needed

This project is a pro-active analysis of the current business processes and systems to ensure that they will continue to meet future volumes of the FTP department

This research project is required to accurately scope, plan and budget any implementation project undertaken in the future.

Project Approach

Project Approach

Internal review of processes and systems

External technical advice will be engaged where required and appropriate

Consider appointment of (external) business analyst to provide objective review of processes

Ensure appropriate engagement of key stakeholders by project board through regular communication

Ensure appropriate buy-in from users through involvement in project and regular communication

Project will be managed according to Prince2 methodology

Ensure internal expectations are managed through regular communication

Project will be managed and delivered through phases to ensure resources are appropriately managed, both within the project team and the FTP department

That appropriately knowledgeable employees are included in the project team to ensure quality of product

FTP Case Management System Research Project Brief

Project Team	
Project Sponsor: Marc Seale	
Project Lead : Kelly Johnson	
Senior Supplier: Guy Gaskins	
Senior Users : Eve Seall, Alison Abordarham	
Project team: Rick Welsby, Simon Thompson, Grant Edgeworth, Rachel Bull, Jameel Anwar and Anaru Smiler	
Estimated Budget	
Capital Expenditure: £134,000	Operating Expenditure: £11,400

Date
2008-04-04

Ver.
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OPT

Doc Type
DCB

Title
Online Applications and Renewals Project Brief

Status
Draft
DD: None

Int. Aud.
Internal
RD: None

FTP Case Management System Research Project Brief

Initial quality plan

That the following work packages will be signed off where appropriate by the relevant members of the project team and Committee or Council:

- Documented processes and procedures
- Business case for 'build' project
- Project plan for 'build' project
- Functional requirements
- Non functional requirements
- Reporting requirements
- Systems (technical, data application) architecture (if appropriate)
- Training requirements
- Project approach for 'build' project
- FTP department and organisation-wide buy-in
- Stakeholder feedback to proposed solution
- Third party vendor engagement (if appropriate)
- All project related documentation

All work packages will be required to meet the acceptance criteria specified, prior to being signed off.

Initial Communications plan

Highlight reports on a monthly basis

Briefing to FTP team meetings

External stakeholders will be engaged through written communication

Project progress reported to EMT once a fortnight

Brief updates in employee newsletter

Inclusion in director's report to FTP committee

ID	Duration	Start	Finish	Resource Names	2nd Quarter			3rd Quarter			4th Quarter			1st Quarter		
					Apr '09	May '09	Jun '09	Jul '09	Aug '09	Sep '09	Oct '09	Nov '09	Dec '09	Jan '10	Feb '10	Mar '10
1	160 days?	Mon 04/05/09	Fri 11/12/09		FTP CASE MANAGEMENT SYSTEM RESEARCH PROJECT											
2	50 days?	Mon 04/05/09	Fri 10/07/09		Project initiation											
3	35 days	Mon 22/06/09	Fri 07/08/09	FTP,BA	22/06 Review of existing systems											
4	35 days	Mon 22/06/09	Fri 07/08/09	FTP,BA	22/06 Review of existing processes											
5	35 days	Mon 22/06/09	Fri 07/08/09	FTP,BA	22/06 Review of risks of existing solution											
6	10 days	Mon 10/08/09	Fri 21/08/09	FTP,BA	10/08 Re-engineering of existing processes											
7	20 days	Mon 24/08/09	Fri 18/09/09	FTP,BA	24/08 Functional requirements gathering											
8	20 days	Mon 24/08/09	Fri 18/09/09	FTP,BA	24/08 Reporting requirements gathering											
9	20 days	Mon 24/08/09	Fri 18/09/09	FTP,BA	24/08 Non functional requirements gathering											
10	20 days	Mon 24/08/09	Fri 18/09/09	FTP,BA	24/08 Data mining requirements gathering											
11	20 days	Mon 07/09/09	Fri 02/10/09	FTP,IT	07/09 Options selection process											
12	5 days	Mon 28/09/09	Fri 02/10/09	FTP	28/09 Calculation & documentation of high level indicative on-going costs											
13	5 days	Mon 28/09/09	Fri 02/10/09	FTP	28/09 Calculation & documentation of high level indicative one-off costs											
14	20 days	Mon 05/10/09	Fri 30/10/09	FTP,IT	05/10 Tender process?											
15	20 days	Mon 02/11/09	Fri 27/11/09	FTP,IT,Solution archite	02/11 Solution architecture design											
16	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Calculation & documentation of one off costs											
17	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Calculation & documentation of ongoing costs											
18	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Documentation of proposed options											
19	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Review of potential resource efficiencies of proposed solution											
20	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Risk analysis of proposed project											
21	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Analysis of project against overall business strategy											
22	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Benefits analysis of proposed project											
23	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Product breakdown structure of proposed project											
24	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Work breakdown structure of proposed project											
25	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Analysis of resource availability											
26	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Analysis of business cycles											
27	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Positioning of project within project portfolio 2010/11											
28	10 days	Mon 30/11/09	Fri 11/12/09	FTP,IT	30/11 Compilation of Business Case for proposed project											