Professional Practice and Assurance

Care Recording Systems Governance

Draft/Final Version: Final

Author: Marcus Herron, Service Manager – Service Development and Assurance

Date: May 2016

Contents

1.0 Introduction

This document outlines key responsibilities and processes for system change within the People Group to ensure:

- Change is managed in a controlled fashion and decisions clear and transparent.
- Clear accountabilities are established in all change processes.
- All stakeholders are clear on roles, responsibilities and process.
- All systems have defined owners.
- Clear priorities are established.
- There is clear alignment with Corporate ICT Governance and ICT Strategy.
- Work take on and prioritisation is agreed and transparent.

1.1 Maintenance

The Document will be reviewed annually or at key milestones in system change projects to ensure it is up to date.

Major changes will be agreed with IMT board, ICT and GLT.

2.0 Key Principles

2.1 Fundamental Principles for Data Capture

> **1.**
>
> • We will look to capture all data in Core applications

> **2.**
>
> • If we can't capture in core applications we will look to develop and use single sources of data with common identifiers

2.2 The decision making process for all new developments:

1.
• Can the solution be provisioned in the most appropriate core systems owned by People Group, Corporate Services or with formal Partners and the data surfaced in the appropriate way for all business partners.

2.
• IF NOT - Can the solution be developed in following the ICT Strategy (developed, commisioned or purchased 'off the shelf')?
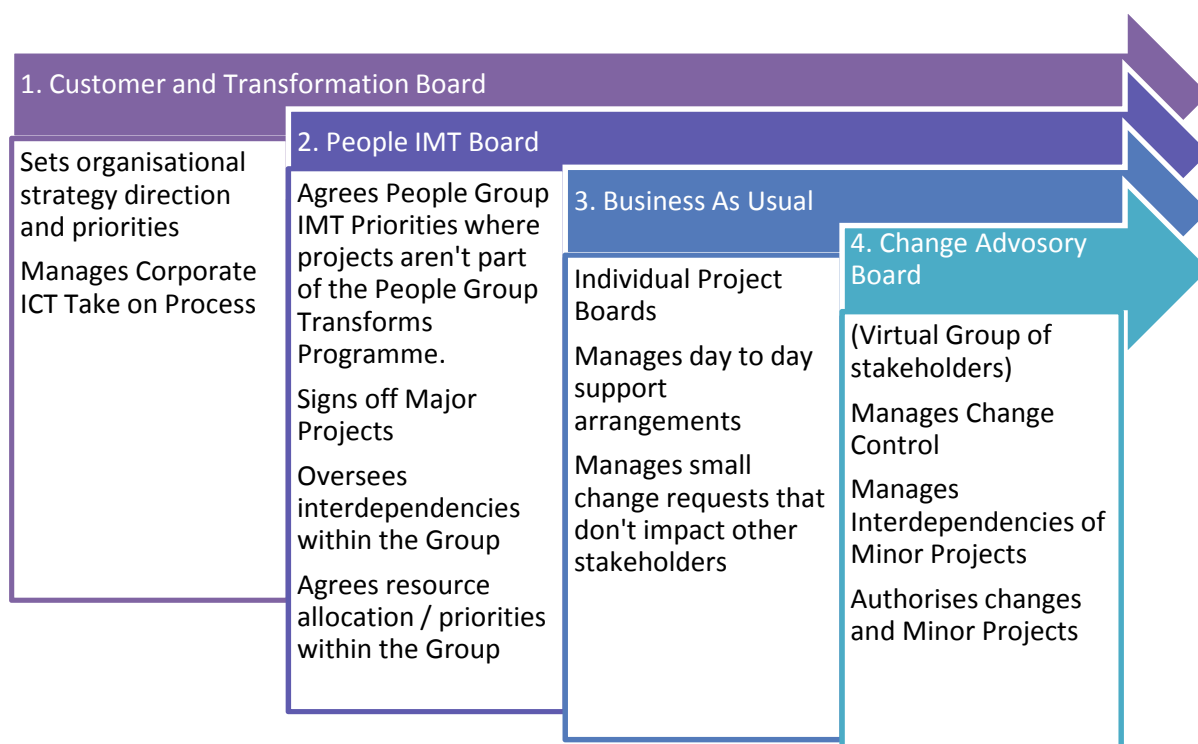
3.
• Only as a very last resort will we look to 'bespoke' our Core applications.

3.0 Roles and Responsibilities

3.1 Governance

The arrangements documented in this section relate mainly to internal Governance. Recognising the increasing partnership and integration agenda, these internal arrangements link to partners via Strategic Boards (such as Health and Well Being Board, CCG ICT Boards, Warwickshire Better Together. In these instances internal decision making is escalated to the relevant partnership board and maintain links to our own internal developments.

1. Customer and Transformation Board

Sets organisational strategy direction and priorities

Manages Corporate ICT Take on Process

2. People IMT Board

Agrees People Group IMT Priorities where projects aren't part of the People Group Transforms Programme.

Signs off Major Projects

Oversees interdependencies within the Group

Agrees resource allocation / priorities within the Group

3. Business As Usual

Individual Project Boards

Manages day to day support arrangements

Manages small change requests that don't impact other stakeholders

4. Change Advosory Board

(Virtual Group of stakeholders)

Manages Change Control

Manages Interdependencies of Minor Projects

Authorises changes and Minor Projects

3.2 Roles and Responsibilities within People Group Governance Structure

1. Professional Practice and Assurance
- Policy and practice implications of changes or developments
- The identificaton of business need and specification
- System configuration and administration within Care Record systems functionality
- Care Recording Systems Governance and Documentation
- Change control
- Prioritisation
- Liaison with Information Assets
- Intergrated take on process

2. Business Intelligence
- For understanding data we have and what data we need.
- The presentation and interpretation of data to the business to inform decisions
- Specification of management reporting outputs
- Specification of data capture to support statutory returns

3. Customer
- Owning coding and activity structures

4. Finance
- For designing financial processes and coding structures
- Ensuring alignment with Corporate Governance.

5. ICT
- Corporate Strategy
- Ensuring work take on alignment with ICT Strategy, architecture and Information Governance
- Technical Support and Development
- Involvement in agreeing shared standards
- Integrated take on process

3.3 System Ownership and Roles (centrally managed systems)

Mosaic	Carefirst	ShareCare	Business Objects	Actuate	Abacus
• **Owner** • Professional Practice and Assurance • **Key Roles:** • **PPG:** Internal System Configuration, Business Specification and Administration and Change Control • **ICT:** Alignment with ICT Strategy, Technical Development, Maintenance and Infrastructure • **BI:** Data Requirements, Specification for Management Reporting and Statutory Reporting • **Finance:** Finance coding structures	• **Owner** • Professional Practice and Assurance • **Key Roles:** • **PPA:** Internal System Configuration, Business Specification and Administration and Change Control • **ICT:** Alignment with ICT Strategy, Technical Development, Maintenance and Infrastructure • **BI:** Data Requirements, Specification for Management Reporting and Statutory Reporting • **Finance:** Finance coding structures	• **Owner** • Professional Practice and Assurance • **Key Roles** • **PPA:** Internal System Configuration, Business Specification and Administration • **ICT:** Alignment with ICT Strategy, Technical Development, Maintenance and Infrastructure • **BI:** Data Requirements, Specification for Management Reporting and Statutory Reporting	• **Owner** • Business Intelligence • **Key Roles** • **ICT:** Alignment with ICT Strategy, Technical Development, Maintenance and Infrastructure • **BI:** Data Requirements, Specification for Management Reporting and Statutory Reporting • **PPA:** Internal System Configuration, Business Specification and Administration	• **Owner** • ICT • **Other Roles** • **PPA:** Reporting Specification • **ICT:** Alignment with ICT Strategy, Technical Development, Maintenance and Infrastructure	• **Owner** • Finance • **Key Roles** • **PPA:** Business Specification • **Finance:** Internal System Configuration, Administration • **ICT:** Alignment with ICT Strategy, Technical Development, Maintenance and Infrastructure

4.0 Change Definitions

Support Requests

- Less than 5 day effort required (combined inc stakeholder time)
- Buseinss code changes
- Minor amendments to forms

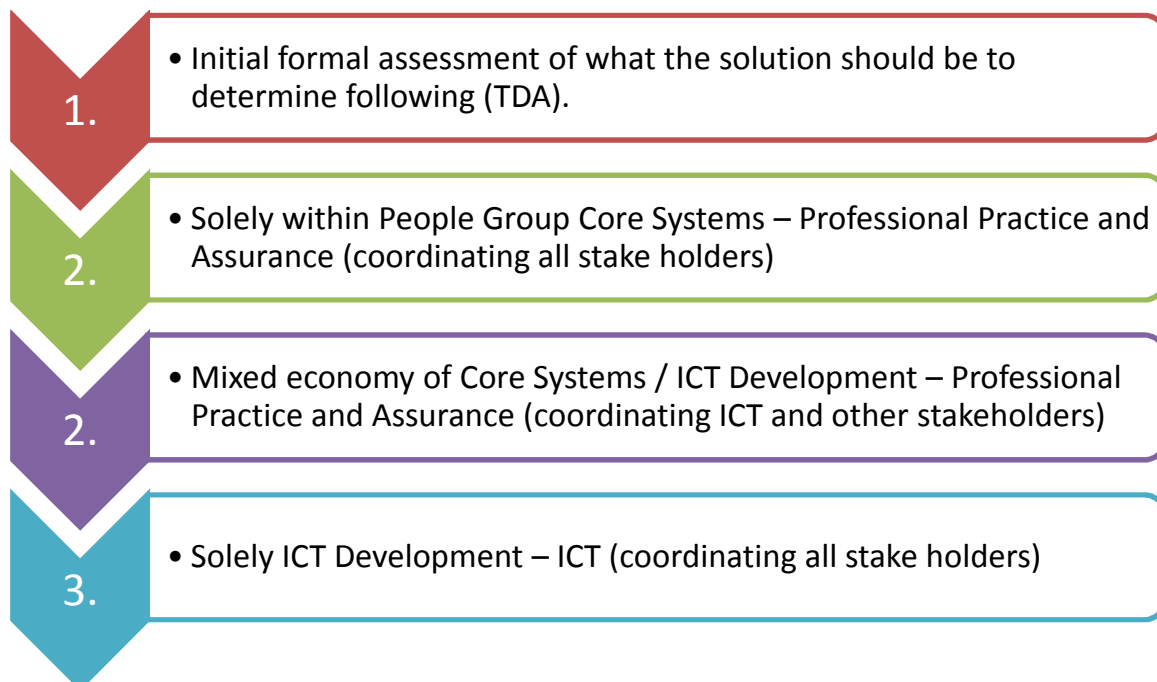**Minor Project (IT Small Development)**

- More than 5 days effort but less than 20 days (combined inc stakeholder time)
- Changes to existing forms, reports.
- Single form developments.
- Systems patching or maintenance.
- Requires coordination of single service or BU

Major Project

- Over 20 Days Effort (combined inc stakeholder time)
- New suite of forms or integrated process developments
- Significant change effecting multiple Services or BUs
- Wholesale system upgrade or replacement

4.1 Development process & project lead (to provide customer with a single point of contact)

1.
- Initial formal assessment of what the solution should be to determine following (TDA).

2.
- Solely within People Group Core Systems – Professional Practice and Assurance (coordinating all stake holders)

2.
- Mixed economy of Core Systems / ICT Development – Professional Practice and Assurance (coordinating ICT and other stakeholders)

3.
- Solely ICT Development – ICT (coordinating all stake holders)

* In all instances future projects are increasingly likely to be partner / integration focused. In these cases a decision on project leadership will be made depending on the nature of the project via collaboration with the Partners, Care Record Manager and IA Business Partner

Appendix One: Service Development and Assurance (Care Records Systems) Responsibilities

Responsible for configuration within existing systems:

- This **is** using core functionality, existing data sets (ie via system menus). Examples include developing forms and workflow.
- This **is not** writing coded applications or designing database structures.

Managing the development process

- This **is** acting as project manager and business analyst for projects delivered within Core Systems or in a Mixed Economy (Core Systems and ICT). This is producing the business case and maintaining project documentation.
- This **is not** owning the project or business case or making decisions that should be taken by the project executive.

Defining business requirement:

- This **is** the mapping and documenting the 'as is' and 'to be' business process, making recommendations to the Business, defining 'what' and 'how' inside the systems core functionality. This **is** producing the business case.
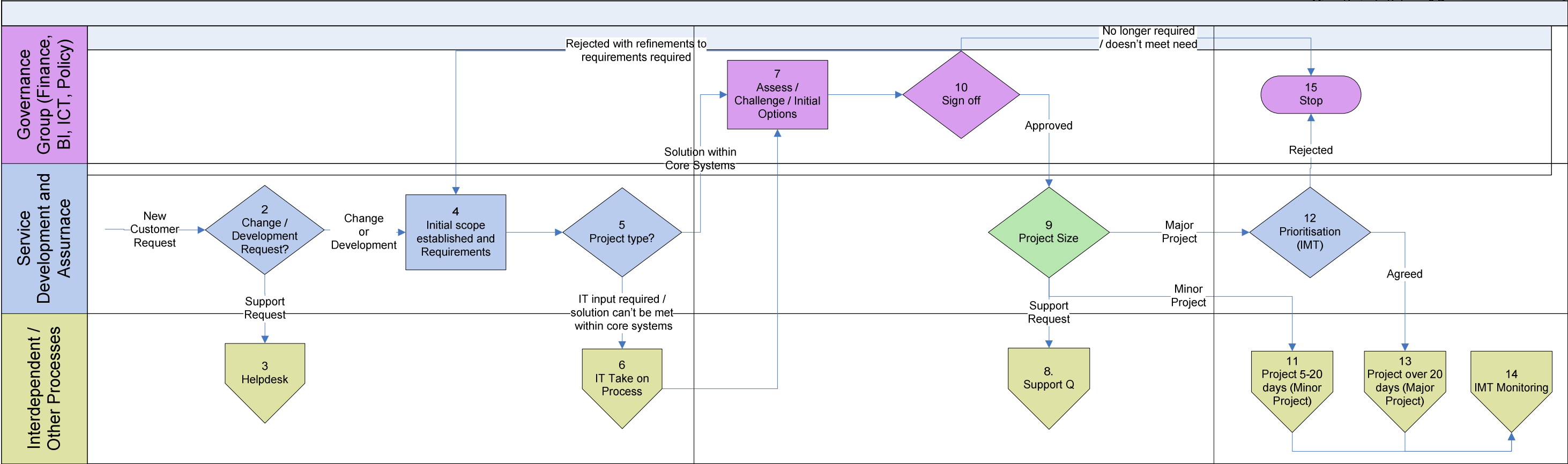- This **is not** the 'how' outside of the core systems.

Supporting the business administration of the core application:

- This **is** maintaining coding structure, user set up, process configuration, changes to existing forms, training and guidance. This is making recommendations to the Business.
- This **is not** making decisions on behalf of the business but is enabling them to self-service. This **is not** capturing data in the system.

Maintain Governance, change control and documentation for Core Systems

- This **is** managing change control processes, maintaining documentation, acting as Business Analyst and Project Manager (single point of contact for the customer) for change.
- This **is not** making decisions on behalf of the business but is enabling them to self-service.

Appendix 2 - Core People Group Systems **work take on process (Initiation)**

Swimlanes:

Governance Group (Finance, BI, ICT, Policy)
- Rejected with refinements to requirements required
- No longer required / doesn't meet need
- 7 — Assess / Challenge / Initial Options
- 10 — Sign off (Approved)
- 15 — Stop (Rejected)

Service Development and Assurance
- New Customer Request
- 2 — Change / Development Request?
- Change or Development
- 4 — Initial scope established and Requirements
- 5 — Project type?
- Solution within Core Systems
- 9 — Project Size (Major Project / Minor Project)
- 12 — Prioritisation (IMT) (Agreed)
- Support Request
- IT input required / solution can't be met within core systems

Interdependent / Other Processes
- 3 — Helpdesk (Support Request)
- 6 — IT Take on Process
- 8. — Support Q (Support Request)
- 11 — Project 5-20 days (Minor Project)
- 13 — Project over 20 days (Major Project)
- 14 — IMT Monitoring

1,2,3,4,5,6

New work requests are generated though a number of routes: helpdesk call, project request, direct customer request.

All new work requests are initially investigated by SD&A and assessed against the following principles:

1. Can the solution be provisioned in the most appropriate core systems owned by People Group, Corporate Services or with formal Partners and the data surfaced in the appropriate way for all business partners.
2. IF NOT - Can the solution be developed in following the ICT Strategy (developed, commisioned or purchased 'off the shelf')?
3. Only as a very last resort will we look to 'bespoke' our Core applications.

Purely support requests are forwarded to the Helpdesk.

If the work meets categories 2 or 3, the ICT work take on process is triggered and all forward work is conducted jointly.

7,8,9,10

Projects are assessed to establish whether they fit strategy and signed off by the Governance Group. An assessment of resource required to deliver the project is agreed (jointly) and the porject forwarded to the appropriate work queue.

A. Support requests (under five days) are sent to the Customer Support Coordinator and prioritised. A lead is assigned and customer notified of delivery dates. We aim to deliver changes under five days within three weeks

B. Minor Projects (5-20 days effort)
Projects assessed as Minor Projects don't require IMT sign off and join the work queue. They are assigned a lead within three days and prioritised according to People Group Transforms Priority (if a workstream of another project) or resource availability (if a dedicated IT project) by the Customer Support Coordinator. (Business Units may be asked to prioritise their minor project work requests). Funding may be required to provide additional resource to these requests to increase pace.

Minor projects are monitored via IMT reporting.

All projects must have an identified business lead with the authority to agree changes (The Project Executive)

11,12,13,14,15

All **Major Projects (over 20 days effort)** are prioritised according to People Group Transforms Priority (if a workstream of another project) or by the IMT Board (if a dedicated IT project) using the agreed People Group Transforms scoring matrix.

A. Projects resourced in line with priorities.

B. Projects unable to be resourced from within existing resource will be discussed with the sponsor to agree funding or a suitable timeframe for delivery.

C. The chair of the IMT board and Strategic Director maintains a veto to prioritise any work.

D. Unsuccessful projects are stopped.

Agreed projects are added to the IMT priority list of work and a project lead allocated within 3 days by the Business Configuration Manager

14

Service Development and Assurance maintain project leadership for work categorised as being development within core systems or requiring some ICT input.

ICT take project leadership for those projects requiring no core system configuration.

IMT reporting happens six weekly and is led by the Care Records Systems Manager

---

Documents:	Documents:	Documents:	Documents:
Requirements Documentation IMT Prioritisation ICT Prioritisation Documents (if required)	IMT Priority Business Case ICT Work Take On Docs Risk Assessment	IMT Priority BC ICT Work Take On Docs	IMT Priority BC
Process Owner: Service Development and Assurance	**Process Owner:** Service Development and Assurance ICT (ICT Work Take On)	**Process Owner:** Service Development and Assurance	**Process Owner:** Service Development and Assurance ICT (for category 3 ICT only work)
Key Stakeholders: Customer ICT	**Key Stakeholders:** ICT, Customer BI/Finance	**Key Stakeholders:** ICT Customers	**Key Stakeholders:** ICT
Service Level(s) / measure of performance Initial assessment of scope requirements and indication of project type within 3 days	**Service Level(s) / measure of performance** Projects of under 5 days effort delivered within 3 weeks % of projects assessed and prioritised delivered within 5 days % of projects delivered within agreed deadlines % major projects with allocated lead within 3 days	**Service Level(s) / measure of performance** Major Projects are prioritised within 6 weeks % major projects with allocated lead within 3 days	**Service Level(s) / measure of performance** % of projects delivered within agreed deadlines