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# HSCIC Transformation Programme

## - Financial Year 13/14 end of year report

Approved by the Transformation Programme Board

# Document Management

## Revision History

Version	Date	Summary of Changes
0.1	05/03/14	Initial Structure
0.2	12/03/14	Initial draft, also incorporating directorate and org wide project updates
0.3	18/03/14	Updated draft incorporating directorate sections.
0.4	19/03/14	Update following further additions
0.5	19/03/14	Updated following review by Director of HR and Transformation
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1.0	31/03/14	Updated to Final version following Programme Board review

## Reviewers

This document must be reviewed by the following people: [author to indicate reviewers](#)

Reviewer name	Title / Responsibility	Date	Version
Transformation Programme Management Group		19/03/14	V0.4
Rachael Allsop	Director of HR and Transformation	19/03/14	V0.4

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Name	Signature	Title	Date	Version
Alan Perkins		CEO and Transformation SRO	31/03/14	1.0
Transformation Programme Board		Programme Board	27/03/14	0.6

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# 1 Executive Summary

The HSCIC Transformation Programme was established in April 2013 and has followed a structured organisational development approach with the Leadership Forum providing significant input to shape the programme. The agreed vision statement for the Transformation Programme underpins the HSCIC strategy and is:

**“To consolidate the HSCIC as a high performing organisation that is recognised as an outstanding place to work”.**

25 organisation wide transformation projects and six directorate transformation projects are in progress. The projects are at various stages of delivery. Out of necessity much of the focus for 13/14 has been on building the foundations of the organisation (the ‘hygiene’ factors). The broad scope of the programme has delivered a number of significant achievements and positive outcome, although much of the benefits are still be realised. The programme has contributed significantly to the positive development of the organisation for example enabling a better collective understanding of our new organisation, a focus on corporate consistency, staff engagement through a wide variety of mechanisms and helping to break down barriers between the inherited functions

2014/15 will see a change of emphasis. A number of building blocks that have been delivered through the transformation - such as new or emerging organisation structures, our values, professional groups, line manager charter and corporate and individual performance management processes are now in place. But these require embedding throughout the organisation.

At the same time further developmental work is required at an organisational level and at a directorate level, particularly as new executive and non executive directors start in permanent positions. Examples include leadership development, talent management, and quality management, maturing our brand and approach to external relationships and developing approaches to enable us to be more responsive and flexible.

This document – an end of year report for the HSCIC Transformation programme – describes that approach we have taken during the year, outlines the key achievements and outcomes delivered so far, and considers lessons we have learned.

The report proposes an approach for 2014/15 which builds on the foundations we have put in place, provides a clearer more focused scope and acknowledges that we will need to react to changing priorities through 2014/15. The approach will require that a number of the corporate building blocks that are now in place are **embedded through the directorates into the organisation.**

## 2 Introduction

This end stage report is produced by the Transformation Programme Head with contributions from Directorate Transformation Leads and Transformation Project Leads. It coincides with the handover of Transformation SRO responsibilities from Alan Perkins (HSCIC CEO until 31 March 14) to Andy Williams (HSCIC CEO from 1 April 14).

It provides information to the Programme Board on how well the programme performed during the first year and its overall status at the end of the year.

It also proposes a modified approach for the Transformation Programme in FY14/15

### 2.1 Background

The HSCIC Transformation Programme was established in April 2013, as the Informatics Transition Programme - which managed the initial establishment of the HSCIC - was closed.

The HSCIC Transformation Programme was set up as our internal development and change programme, with Alan Perkins (HSCIC CEO) the SRO for the Programme.

The programme is governed by the Transformation Programme Board which is chaired by the SRO with membership made up of the Executive Management Team, Directorate Transformation Leads and transformation project leads by invitation. The programme board will have met eight times in FY13/14.

The programme is managed by a small central Transformation Programme team. The principle that has been adopted by the programme is that the transformation projects should be led and managed by the Directorate where ultimate accountability for the particular activity lies.

In addition to the small central transformation team each of the directorates have a Transformation Lead with responsibility to a) coordinate and manage directorate level transformation activity and b) to ensure that organisation wide transformation activity is applied consistently within their directorate.

A structured Organisational Development framework (the Performance and Health Framework<sup>1</sup>) has been used to guide the organisation development aspects of the programme. The scope of the programme has been informed and shaped by the HSCIC Leadership Forum which will have met eight times in FY13/14 which has used the Performance and Health Framework to consider both the health and performance of the organisation through five frames:

- **Aspire** – where do we want to go?
- **Assess** – How ready are we to get there?
- **Architect** – What do we need to do to get there?

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<sup>1</sup> Beyond Performance – Keller and Price, McKinsey & Company

- **Act** – How do we manage the journey?
- **Advance** – How do we keep moving forward?

Throughout the year there have been a number of changes to the top level structure of the organisation and for the vast majority of the year the Executive Management Team have been in interim positions. The permanent top level structure was announced in January 14 and Very Senior Management (VSM) positions filled from March 14 onwards.

The HSCIC Strategy has been developed through the year and was published for consultation in October 2013 and finalised in February 2014. The Leadership Forum also played a significant role in helping to shape the strategy. Throughout the year it was important to ensure alignment between the development of the HSCIC Strategy and the transformation programme to ensure that the transformation programme aligned with and underpinned the ambitions and commitments set out in the strategy.

The Transformation Programme Mandate was approved at the initial Transformation Programme Board in June 13 and the Programme Definition Document was approved in December 13.

The initial set of Transformation Initiatives was considered at the July 13 Transformation Programme Board and the initial high level programme plan at the September 13 Programme Board.

Subsequently the Transformation approach and High Level Plan was approved by the full HSCIC Board in December 13.

The transformation projects that have been established are at a **director level** – focussed on the transformational development of individual directorates - and at an **organisation wide level** - likely to have a significant impact across all or large parts of the organisation, align with our organisational health aspirations and support our organisational strategy.

25 organisation wide transformation projects have been initiated and are split between *strategic projects*, *people projects*, *operational management projects* and *integration projects*. These are summarised in figure 1 below.



Figure 1: Organisation Wide Transformation Projects

The approved vision statement for the Transformation Programme is

***“To consolidate the HSCIC as a high performing organisation that is recognised as an outstanding place to work”***

**Appendix C** contains an extract from the Programme Definition Document mapping the organisation wide transformation projects to expected outcomes and benefits.

Out of necessity much of the focus for 13/14 has been on building the foundations of the organisation (the ‘hygiene’ factors). A number of these building blocks are now in place but require embedding throughout the organisation.

## 3 Review of FY13/14 performance and achievements

### 3.1 Achievements

The HSCIC has developed significantly throughout 2013/14 since being established as a new organisation on 1 April 2013 and bringing together colleagues from 13 different predecessor organisations.

The starting point for the new organisation was the inheritance of a diverse workforce of professions, locations and culture and an immediate recent history of a long transitional period for significant numbers of our staff. This has brought substantial challenges in developing a new culture for the organisation.

Whilst focused effort must remain on the development of the organisation there have been some significant achievements in our first year that should be recognised.

The transformation programme developed a broad scope (as outlined in the background section above) and **has been the catalyst for change across many areas of the organisation.**

The sections below set out achievements at an organisation wide and directorate level. Collectively the projects and achievements have also contributed significantly to development of the less tangible outcomes, such as a better collective understanding of our new organisation, a focus on corporate consistency, staff engagement through a wide variety of mechanisms and helping to break down barriers between the inherited functions.

#### 3.1.1 Organisation Wide Transformation

The organisation wide transformation projects have, in the main, been corporate in nature and will impact large areas of the organisation. **Appendix A** contains a report of all of the Organisation Wide Transformation Projects setting out key achievements and outcomes and benefits realised to date.

At an organisational wide level:

- We have designed and implemented a full set of **Operational Governance Arrangements** (including reviewing and refining mid-year), providing a clear framework for operational decision making.
- Our new Operational Governance arrangements have a strong focus on staff engagement and partnership working through the **Championing Change Forum, Leadership Forum and Joint Negotiating and Consultative Committee (JNCC)**. (See section 3.2 for further information on staff engagement).



- We have harmonised 500 people and employment policies into 20 new approved HR policies and have approved and published 41 Corporate Policies.
- We have developed and implemented **Key Performance Indicators** at board level, EMT level and directorate level leading to evidenced based reporting, an early warning system and increased accountability.
- We have developed and agreed our **Values** setting out the behaviours expected of all of our staff. A broad cross section of colleagues informed the development of our values.
- We have defined and launched our **HSCIC Professional Groups**. Whilst the groups are still evolving, over two thirds of staff have selected into a profession and there are positive early signs of vibrant professional communities being built across the organisation, helping to break down silos and share learning and develop consistent professional competencies.
- We have developed and agreed our **Line Manager Charter** setting out what is expected of all of our line managers in our organisation and have started our **Line Management Development Programme** with over 200 staff having so far attended priority policy training.
- We have launched our new **PDR process**, bringing together our Values, the Line Manager Charter and Professional Competencies with objectives and signalling our intention to move to a talent management approach.
- We have commenced work on **Reward Review**, having undertaken an equality audit, held a pay workshop with Directors and their senior reports to identify a range of pay related issues for action, conducted an initial review of salaries over £100,000 per year and developed an approach for managing additional payments.
- We have taken steps to move to a more strategic approach to **Recruitment and Talent Attraction** by clarifying our recruitment controls, standardising job descriptions for priority roles, seeking labour market analysis through an external contract, developing our employer brand and seeking to advertise roles through a broader range of channels.
- The work on the People Transformation Projects has informed the development of the **HSCIC Workforce Strategy** which was considered by the HSCIC Board in February and which provides us with the strategic framework for developing our workforce.
- We have standardised much of our **Corporate ICT** provision with all staff now on VOIP telephony and managed print services, wireless connectivity available in all hubs and HQ and unified desktop build now being deployed.

- We have agreed our Locations Policy and have started to consult on and draft our **Locations Strategy**, managing ongoing estate provision and changes throughout the year.
- We have undertaken an external review of our **Financial Management Systems** and are now implementing the recommendations.
- A number of our integration projects are making significant progress. Our **Contact Centre Strategy** has been produced and approved providing us with a clear framework for managing our future contact centre provisions. The **Service Integration and Management (SIAM)** integration projects has been fully mobilised and has developed the Operating Model with initial focus on support for Spine 2.
- The **Service Introduction for Standardisation Committee for Care Information (SCCI)** was added to the Transformation Scope in January 2014 recognising the significant work required to refactor our services to provide a more efficient and effective delivery of standards, collections and extractions.
- At a strategic level we have agreed an approach for our **Publications Strategy** with some notable successes such as the A&E report which was linked with the development of our **Brand and Reputation**. Steps such as proactive media work, development of our brand linked to key events and our first customer satisfaction report have provided a good platform to develop our brand, but a further step change in 14/15 needs to be delivered.
- We have undertaken an assessment of our current stakeholder landscape and approaches to **Stakeholder Relationship Management** to inform options for how we should approach this in 14/15 and similar preparatory work has commenced for our approach to **Patient and Public Involvement**.

### 3.1.2 Directorate Level Transformation

The directorate transformation projects have driven organisational change and development within each directorate. The challenges have varied across all of the directorates depending on the start and end point and the drivers for change. **Appendix B** contains a report of Directorate level transformation setting out key achievements and outcomes and benefits realised to date.

There have been a number of in-year reorganisations as the top level structure has changed to reflect the priorities and the direction of the organisation. Directorates and staff have responded proactively to manage the implications of these various changes.

Highlights of some of the achievements by each of the directorates are summarised below. A common theme that has developed across the majority of the directorates is the engagement of managers and staff in the development of new structures and

operating models. This focus on meaningful consultation has increased timescales to develop new structures but has the potential to lead to more sustainable models.

- The **LSP Delivery Directorate** has managed a large and complex programme of change having agreed their future blueprint and proposal for change. There has been a significant period of uncertainty for staff with all staff in the directorate initially having been placed at risk of redundancy. At the time of writing over two thirds of posts (102/153) in the new structure have been filed. The new structure and blueprint will become operational 1<sup>st</sup> April 2014.
- The **Finance and Corporate Services Directorate** has a number of different components and has led on a number of the organisation wide transformation projects. In the **Finance** Function an external review has been undertaken and an implementation plan developed. The **Performance** Function has implemented a corporate performance management infrastructure. The **Communications** Function has developed our brand identity and proactive media work and has undertaken our first customer satisfaction survey. The **Estates and IT** teams have developed an initial locations strategy and have implemented a consistent IT estate for telephony and printing. The directorate has led on 6 organisation wide transformation projects.
- The **Data and Information Services Directorate** has implemented the level 1 structure and the proposed level 2 structure has been developed and approved. A D&IS Transformation Steering Group and Management Forum have been initiated. The directorate has led on 4 organisation wide transformation projects.
- The **Programme Delivery Directorate** has flattened the organisation structure by combining a number of delivery teams under a single line of leadership and accountability and created a number of single renewal programmes. The development of the Project and Programme Delivery Professional Group has been driven as a catalyst for change.
- The **Operations and Technical Services Directorate** has transitioned into the directorate a number of new functions or groups of staff during the year. There has been focus on understanding the baseline and the design of new structures and operating models for **Service Management, Solutions Assurance, Technical Architecture and Infrastructure, Programme Management Office**. Consultation is now commencing in preparation for implementation during 14/15. The directorate has led on 4 organisation wide transformation projects.
- The **HR and Transformation Directorate** has implemented a new structure, agreed the service provision and put in place an integrated programme of transformation work aligning service provision with delivery of organisation wide people transformation projects and supporting other directorates through their transformation activity. Employment policies have been harmonised and a single ESR system implemented. Automated processes have been

established for a number of key policies and a programme of process development and improvement in progress. The directorate has led on 10 organisation wide transformation projects.

- The **Clinical and Public Assurance Directorate** has transitioned staff to other directorates in preparation for the closure of the directorate. The directorate has led on 2 organisation wide transformation projects.

There will be further top level structure changes at the start of FY 14/15 as the permanent top level structure announced in January 2014 is fully implemented.

## 3.2 Staff Engagement

There has been significant effort to engage with staff both specifically about the Transformation Programme and also more generally across the organisation. Our new organisation is very different from our predecessor organisations in size, complexity and geographical spread and therefore 'legacy' approaches to communications and engagement have not always been possible or desirable.

Specifically related to the Transformation Programme key messages have been produced and dedicated intranet pages, blogs, discussions, insight articles, cascade through directorate transformation leads, face to face updates to individual teams and transformation seminars have been used as mechanisms to inform staff about the programme. This has been supplemented by focused engagement and communications for example to develop our values, our line manager charter, our professional groups and about our strategy and publications.

More broadly the Leadership Forum has every six weeks brought together a broad cohort of the top 50 to 60 leaders across the organisation. The Forum has been instrumental in helping to shape the HSCIC Strategy and Transformation Programme. Examples include producing a self assessment of organisational health, identifying elite health aspirations, developing our Values and Line Manager Charter and providing input into strategic challenges needing resolution to develop the HSCIC strategy. The Forum has also contributed significantly to improving organisational understanding and awareness at a leadership level and has helped to remove barriers between legacy structures.

The Championing Change Forum has provided an inclusive, structured mechanism for two way staff communication in the HSCIC regardless of union membership. Meeting every six weeks it has contributed significantly to the development of the Line Manager Charter and our Values. The forum has taken a structured approach, collating staff issues and identifying priorities and a regular report is produced by the forum with a slot on the Executive Management Team (EMT) agenda to report these priorities. This has helped to focus organisational priorities driven by staff feedback, for example the development of our location policy.

We engage and consult formally with staff side representation through the Joint Negotiating and Consultative Committee. Building on the relationships established through the transition period and maturing through the year the JNCC has been

described by staff side representatives on the JNCC as being “streets ahead in the HSCIC as compared with other new national bodies”.

The development of Professional Groups has stimulated debate across the organisation and has brought together professionals from different directorates into single professional groups. Again this has contributed to developing cross organisational understanding and learning as well as helping to break-down barriers and silos between teams.

At a directorate level there has been concerted effort on meaningful consultation with managers and staff to inform the design of new structures and operating models.

All of the above has been supplemented and supported by our corporate communications and engagement activities including the introduction of monthly directors’ briefing packs and ‘path forward’ priorities, more face to face meetings, networking opportunities, communities of interest, blogs and articles for Connect and our staff magazine Insight.

Our staff surveys provide the formal mechanism for staff to provide feedback and insight on employee engagement. Our first staff survey ran over the summer of 2013 and provided feedback on approaches to communications, staff development, understanding what we do and our strategy. The outputs helped to shape some of the transformation activities and opportunities to improve communications and increase engagement. Staff Engagement is now embedded as one of our organisational Key Performance Indicators.

Our second staff survey is running through March 2014 and this will provide us with a good indication of progress and issues with staff engagement.

Despite this it is clear that further concerted effort is required; about the transformation programme specifically and more generally throughout and across the organisation. It is therefore recommended that staff engagement becomes a dedicated ‘people focused’ transformation project to ensure continued effort through FY14/15.

### 3.3 Programme Resourcing

The principle established by the Transformation Programme is that transformation projects should be led and managed by the Directorate where ultimate accountability for the particular activity lies. The rationale for this is to position transformation activity as part of the business (not separate from it) and to ensure that ongoing ownership and accountability is clear.

To manage the Transformation Programme a small central transformation programme team (2.4 WTE for the majority of the year) was retained from the Transition Project. The role of the central transformation team is to manage the overall programme providing programme management disciplines & rigour, provide consistency across the organisation by ensuring that the organisational development activities are managed in line with the agreed frameworks, provide the link between organisation wide and directorate level transformation and to facilitate open two way staff communications about transformation. The central transformation team

members have remained consistent throughout the year with one additional (0.8 WTE) team member joining in January 2014.

A 'hub and spoke' model was agreed whereby each directorate would appoint a Directorate Transformation lead with responsibility to a) coordinate and manage directorate level transformation activity and b) to ensure that organisation wide transformation activity is applied consistently within their directorate.

The model of directorate transformation leads has been adopted in principle but the model differs in each directorate with some leads being dedicated full time to transformation and some leads having wider directorate responsibilities. The approach to implementing directorate level transformation has also varied depending on the size of the directorate and scale of transformational change. There have been a number of changes in the year to individual transformation leads in a number of the directorates compounded by changes to the top level structure. At times this has led to inconsistencies across the organisation.

The majority of *organisation wide* transformation projects are corporate in nature and therefore accountable to the Director of HR and Transformation (10 organisation wide projects) and Director of Finance and Corporate Services (6 organisation wide projects).

In some cases this has placed significant load on the corporate teams who are a) developing and transforming their internal teams, supporting the wider organisation in their transformation activities, running BAU services and leading on organisation wide transformation work. For the People Related projects (led by the HR and Transformation Director) HR and OD leads worked in partnership with the central transformation team to bring together HR and OD and project and programme delivery capability to the deliver these projects.

As the focus of FY13/14 has been on the building blocks, the time and resource impact on the wider organisation of the transformation programme (which was assessed at the December 2013 Transformation Programme Board) has not been significant. This balance will change through FY14/15 as the organisation is expected to embed the core building blocks (e.g. line management development, values, consistent PDRs) into everyday practice. This will require consistent focus through the directorates and through line management.

One significant exception to this is the Professional Groups project. This has directed that 25 senior managers across the organisation assume responsibilities as a profession lead supporting the six EMT level Professional Group Leads. This additional activity has created resource challenges for a number of the profession leads and has led to different levels of maturity across the groups. The professional groups have also asked staff members to contribute to the development of the groups (e.g. developing competency frameworks) and this again has been viewed as 'in addition to the day job' and has meant a conflict of priorities in a number of instances.

The majority of the remaining organisation wide transformation projects have had existing leads and project teams in place to manage the projects (e.g. SIAM, Service Introduction for SCCI, Contact Centre Strategy), or have identified roles in new structures to lead the projects (e.g. Publications Strategy and Implementation and Data Asset Utilisation).

However some of the organisation wide transformation projects have required recruitment to new posts to allow work to be progressed (e.g. Innovation Hub, Stakeholder Relationship Management and Patient and Public Involvement).

### 3.4 Review of performance against plan

The Programme Mandate set out the following high level target timescales for the first three tranches of the programme aligned to our Organisational Development approach:

- Aspire – where do we want to go? – By end June 13
- Assess – How ready are we to get there? – By end July 13
- Architect – What do we need to do to get there? – By end September 13

These dates were achieved. The initial high level plan (as the output of the architect phase) was agreed at the September Transformation Programme Board and subsequently ratified at the December HSCIC Board.

Whilst individual transformation projects will continue to undertake the 'assess' frame, at a programme level we are now in the Act Frame (*'How do we manage the journey?'*) as we implement the agreed projects.

For a comparison of performance against plan, **Appendix C** contains the November high level plan ratified at full HSCIC Board and **Appendix D** contains the current high level plan dated March 14.

A number of the visible deliverable from the transformation projects have been delivered in the last quarter of 13/14, reflecting the time required for developmental initiatives that require wider staff engagement.

An approach was agreed by the Transformation Programme Board that each project would undertake a gated entry and the scope would be considered and approved by the Transformation Programme Board, at which point the project would be baselined.

Therefore the initial high level plan was aspirational in a number of areas. Comparison of these plans shows that the majority of projects have remained broadly on target against key **end** dates although there has been some changes against interim deliverables and some re-phasing as priorities have changed and as the details of the individual projects have been developed. Some of these main changes against the original targets are summarised below:

- A number of organisation wide projects have not yet had their initial scope reviewed by the Transformation Programme board and have seen changes to the original aspirations to achieve this. These projects include Innovations Hub, Corporate Social Responsibility, Leadership Development, Health and Wellbeing and Corporate Information Systems Strategy. In the main these have been conscious decisions that have been influenced by resource constraints or where understanding has matured and a revised phasing of work has developed.

- There has been a delay against original targets for all staff selecting into a professional group and in achieving a consistent forward development plan for each group.
- There has been some slippage on original aspirations in developing strategic recruitment approaches as priorities have focused on the Cohort Recruitment work to address priority vacancies.
- There has been some slippage on original aspirations to agree our Locations Strategy as further work has been required to consult more broadly. However our locations principles and policy have been agreed.
- Within the SIAM project there has been some slippage on agreeing the full transition sequence as focus has been on delivering the service for Spine 2.
- Agreeing the scope for the Data Asset Utilisation Strategy was later than originally planned.

A formal Transformation Projects Tracker has been produced monthly for each Transformation Programme Board providing a detailed report of progress and key milestones.

The Transformation Programme is also a Key Performance Indicator at both Board and EMT level.

Throughout FY 13/14 the overall status of the programme has remained as Green or Amber / Green. **The overall status at year end is assessed as Amber / Green.**

### 3.5 Lessons

A number of key lessons have been learned during the first year of the HSCIC Transformation Programme:

- The use of a recognised **organisational development** approach provides credibility and a structure which has helped significantly to shape the programme.
- The bringing together of the **top leaders in the organisation** as part of the Leadership Forum has provided direction to the transformation programme and has helped to improve organisation understanding and break down barriers. But further effort is required to ensure consistent leadership of change during 14/15.
- The approach to **partnership working** (with the JNCC and Championing Change Forum) has embedded trusting relationships and added significant value and robustness to organisational change priorities and approaches.
- The power of bottom up **staff involvement** significantly enhances the quality of outputs as evidenced by our values and line manager charter and directorate level blueprints.
- Huge effort and energy is required to **engage with staff** about a change process as evidenced by the significant effort that has been devoted and the



perceived levels of mixed levels of understanding that exist about our new organisation, strategy and transformation programme.

- The **complexity of our inheritance** and different operating environments and cultures should not be underestimated when planning the approach to transformation for year two.
- Staff expect the **'hygiene factors'** to be in place as a given as evidenced by staff feedback about the transformation programme and the level of ambition.
- The role of the **Directorate Transformation Lead** to ensure linkage between organisation wide and directorate activity is essential. **This role will become more important in 2014/15** as a number of the corporate building blocks have now been developed and needed to be embedded throughout the organisation.
- As a pre-requisite to any **structural organisational changes**, ideally there should be clarity on the job descriptions for impacted individuals and any equal pay concerns will have been addressed prior to implementing the change.
- A **broad scope of activities** is a "double edged sword". On the one hand the broad scope of the transformation programme has acted as a catalyst for activity and change in a number of areas. On the other hand it has meant that the scope and purpose of the programme has been more difficult to articulate to staff in clear and simple terms.
- Changes to the **top level structure** of the organisation have significant implications on corporate systems and processes and should be planned as part of future top level structure changes.
- A structured **Programme Management** approach builds confidence in how a programme is managed. The **Transformation Programme Board** has provided a structured mechanism on a monthly basis for our Executive Management Team to consider and shape the transformation of our organisation.
- The approach to resourcing has placed **significant pressures** on the corporate teams (and other teams delivering transformation projects) as they balance ongoing service provision with transformational work, but has ensured that ownership and accountability is held in the right place. Transformation work should be seen as the work to support delivery of objectives and not as a separate activity.
- **Dedicated and focused resource** does however have the potential to accelerate change activity as we have seen with the progression of some of the professional groups.

- Staff involvement and engagement in organisation change is **still seen as optional** by large numbers of staff. If we are to be successful in changing behaviours and embedding new ways of working this mindset needs to change.
- If we are to change mindsets, the **drivers for change** need to be clearly articulated to staff. We took the decision to progress with the transformation programme in parallel with the development of the strategy. Starting the transformation prior to agreement of strategy perhaps weakened the clarity of message. **A clear organisational vision statement would help with this message.**
- It is important to keep up **momentum and demonstrate quick wins**. In the first six month the transformation programme focused primarily on completing transitional activities and developing the approach to Transformation and so for the majority of staff, quick wins were perhaps not evident.
- It is essential to have **Executive Management Team leadership** and drive for any transformational project.
- Where possible it is helpful for **different professional skills to work together** on change programmes. For example HR and Organisational Development professionals working in unison with project and programme delivery professionals has been seen to work well across the transformation programme.

### 3.6 Risks and issue review

The top five risks identified at the end of FY13/14 are as follows.

Risk/issue description	Impact score 1 = V Low 5 = V High	Likelihood score 1 = Rare 6 = Issue	Mitigating action plan/issue resolution plan
<p><b><u>Capacity and prioritisation</u></b></p> <p><b>Because of</b> the number and diversity of transformation projects overlaid with other organisational pressures <b>there is a risk that</b> we are trying to achieve too much organisational change <b>which will result in</b> a delay or lack of consistency in the delivery of the transformational change.</p>	4	3	<ol style="list-style-type: none"> <li>1. Assign EMT Lead to each project to ensure clear Exec leadership (complete).</li> <li>2. Appoint Project Lead to each project and assess organisational impact of scope for each project (complete for majority of projects)</li> <li>3. Agree priority transformation projects (complete Dec 13).</li> <li>4. Propose a modified and focussed transformation scope for 14/15 (at Mar Transformation</li> </ol>

			<p>Board)</p> <ol style="list-style-type: none"> <li>5. Ensure all transformation projects are reflected in directorate business plans</li> <li>6. Each directorate to consider and plan for directorate approaches to transformation for 14/15.</li> <li>7. Develop line managers to take a more proactive role to lead change within directorates</li> <li>8. Launch Values, Line Manager Charter and new PDR process setting out expectations about leading and embracing change.</li> </ol>
<p><b><u>Employee engagement</u></b></p> <p><b>Because of</b> inconsistent or absent engagement and communications with employees <b>there is a risk that</b> staff will not understand the drivers for change and will become disillusioned <b>which will result in</b> a breakdown in cohesion between leaders and staff, silo working and a failure to deliver transformation change and achieve the ambitions set out in our strategy.</p>	4	3	<ol style="list-style-type: none"> <li>1. Develop communications and engagement plan for people related projects (complete)</li> <li>2. Revise key messages for transformation based on agreed approach for 14/15</li> <li>3. Revisit the architect frame of the Performance and Health Framework with a specific focus on mindsets and the influence model.</li> <li>4. Continue to use all established employee engagement and communications channels</li> <li>5. Continue to ensure directorate transformation leads provide linkage into the directorates.</li> <li>6. Develop line managers to take a more active lead in staff engagement through change</li> </ol>
<p><b><u>Directorate Level Transformation Resource</u></b></p> <p><b>Because of</b> competing organisational priorities <b>there is a risk that</b> there is insufficient directorate level transformation / change resource <b>which will result in</b> a delay or lack of consistency in the delivery of the transformational change.</p>	4	3	<ol style="list-style-type: none"> <li>1. Each directorate to consider and plan for directorate approaches to transformation for 14/15 (linked to agreed business plans and transformation approach for 14/15) and resources to support this.</li> <li>2. Directorate Transformation Leads to continue to ensure linkage into the directorates.</li> <li>3. Directorate transformation projects to develop compelling narrative and case for change.</li> <li>4. Build a network of competent change leaders through the Leadership Forum, Line Management Development and</li> </ol>

			Leadership Development 5. Develop line managers to take a more proactive role to lead change within directorates
<b><u>Leading Change</u></b> <b>Because of</b> a lack of visible leadership of change (at all levels of the organisation) <b>there is a risk that</b> transformational change will not be led <b>which will result in</b> delay, failure or lack of consistency in the delivery of the transformational change	4	3	1. Establish and develop the Leadership Forum 2. Embed the HSCIC Line Manager Charter 3. Monitor staff views of Leadership effectiveness through the staff survey 4. Develop and implement an HSCIC Leadership Development Programme 5. Develop line managers to take a more proactive role to lead change within directorates
<b><u>New Board</u></b> <b>Because of</b> the appointment of a new CEO and new executive and non executive directors <b>there is a risk that</b> there may be a change in direction or priorities of the Transformation programme <b>which will result in</b> a loss of momentum and delay in delivery of transformation projects.	3	2	1. Consider Transformation approach for 14/15 at the March Transformation Programme Board. 2. Seek endorsement of approach at the May HSCIC Board. 3. Refine scope as required

## 4 Approach for 14/15

### 4.1 A modified approach for 2014/15

The focus for 2014/15 will be predominantly on the Act (*How do we manage the journey?*) frame. Some Transformation Projects will close and hand over to 'Business as Usual' and will therefore be in the Advance (*How do we keep moving forward*) Frame and some projects still need to be fully defined or may be added to the scope.

To provide focus for the Transformation Programme and to ensure it remains fully aligned to organisational priorities a modified approach could be adopted for whereby:

- There is a clearer focus on the core building blocks for the organisation.
- Priority Transformation projects are added to the scope of the programme on a more dynamic basis, responding to organisation change priorities, but more quickly being handed over to BAU.

All transformation projects should be aligned with our values and priority projects aligned to our core building blocks so that we retain a focus on developing our

behaviours and culture and not just on systems and processes. Figure 2 below shows a potential refined scope for FY14/15.

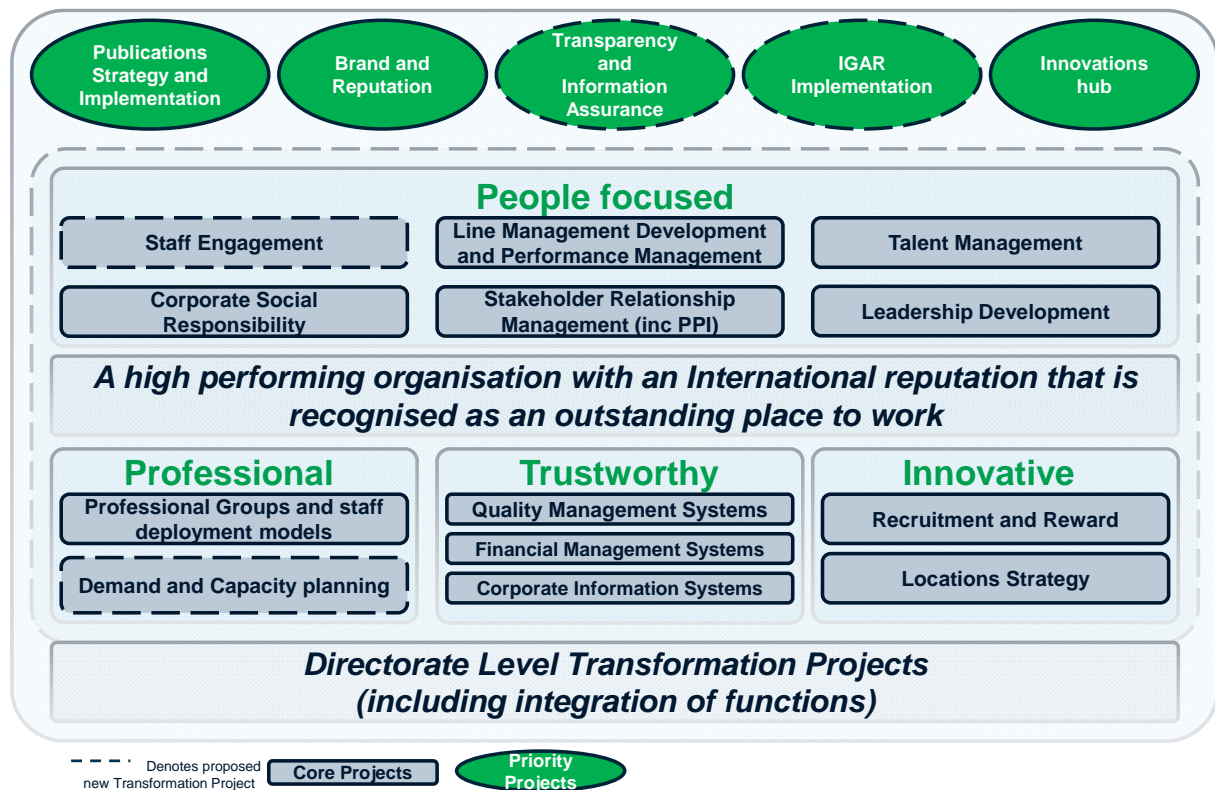


Figure 2: A modified approach for 2014/15

This approach includes a number of existing organisation wide projects, some re-positioning of existing projects and potentially some new projects.

It also recognises that change is still required at directorate level, to embed organisation wide approaches and to continue to develop the directorates. This is likely to identify further areas of synergies or **integration** between directorates. These functional dependencies or integration areas will be recognised by the Transformation Programme and oversight provided through directorate transformation project boards and the Transformation Programme Board.

It is recognised that the current HSCIC Strategy runs until March 2015 and therefore during 2014/15 there will be work to develop the medium to long term strategy and vision for the HSCIC. The Transformation Programme Board has recognised that this will be in the context of the overall health and care system priorities and will flow from the National Information Board Informatics Strategy. The HSCIC strategy and vision is owned by the HSCIC Board and during 14/15 the Transformation Programme must be responsive to any changing priorities as a result of the emerging medium to longer term strategy.

## 4.2 Benefits of a modified approach for 2014/15

The potential benefits of a modified approach for 2014/15 include:

- Allows focus only on those projects that truly impact the majority of staff
- Helps to enable communication of clear messages about the transformation programme and the purpose
- Allows the organisation to focus on a smaller set of more manageable core transformational projects
- Acknowledges and supports a responsive approach to managing organisational transformational priorities
- Allows clear alignment of all transformation projects to our values
- Allows clearer high level measurement of success through links to KPIs (some exist already) and staff surveys
- Allows us to really focus on our ambition:

***“To consolidate the HSCIC as a high performing organisation with an International reputation that is recognised as an outstanding place to work”***

## 4.3 Implications of a modified approach for 2014/15

The implications of a modified approach for 2014/15 include:

- The organisation needs to determine the approach for flexibly deploying our resources to respond to our priorities – it is proposed that this acknowledged as a new organisation wide transformation project (Capacity Planning and Staff Deployment).
- We need to retain a focus (and resources) on the core building blocks, to a) develop new approaches in 14/15 (e.g. Leadership Development), and more importantly to b) fully embed the building blocks now in place (e.g. Values, Line Manager Charter, PDR Process, KPIs etc). **Directorates have the critical role to embed these new ways of working.**
- Where projects are handed over to ‘BAU’ management, this relies on project leads and directorates to work collaboratively across the organisation and ensure that activities are visible.
- We still need to ensure that outcomes and benefits are measured by for all projects.

A revised focused approach would have an implication for the current transformation scope. Each of the existing transformation projects have been categorised as follows:

Project should hand over to BAU management.  
(Project has delivered on core objectives or the work should form part of directorate level transformation activity for existing or to be teams)

Project should remain as part of focused transformation scope for 14/15

Figure 3 below shows how this categorisation translates to each of the projects.

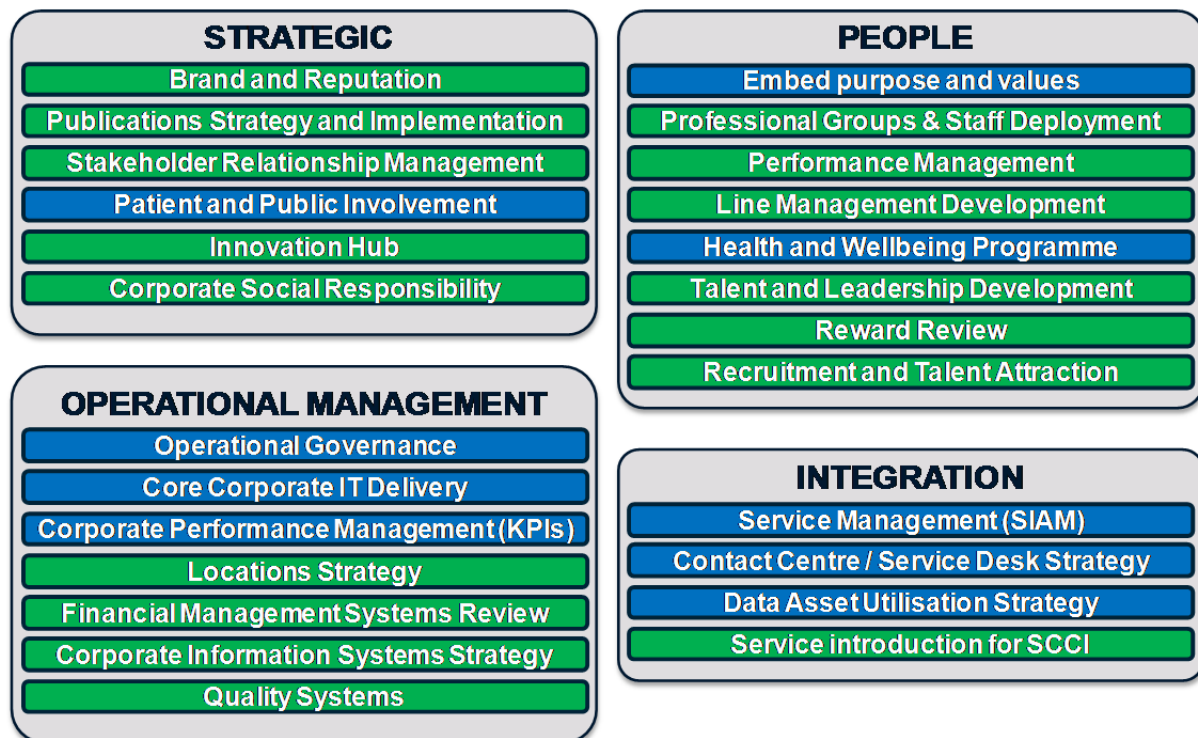


Figure 3: Approach to existing transformation projects

**Appendix A** which details the key achievements and outcomes for each of the projects, provides justification for the proposed categorisation.

## 4.4 Next steps

Subject to agreement by the Transformation Programme Board of any modifications to the scope of the Transformation Programme, programme documentation would be updated accordingly.

When projects are closed from the delivery scope of the Transformation Programme it is important to agree that responsibility for ongoing management, refinement and benefits capture remains with the EMT and Project Lead. For example the KPI project has delivered on the core objectives set out for the transformation programme, but will require ongoing management, monitoring and refinement. This would be led by the Performance team in the Finance and Corporate Service Directorate under normal organisational governance arrangements.

At a point when it is agreed (by the Programme Board) that a transformation project has delivered on agreed scope and should be closed it is proposed that:

1. A formal closure and handover report is prepared and agreed

2. A benefits review is undertaken every six months and reported through the benefits reporting system (which is in development) for the transformation programme.



# Appendix A: Summary of organisation wide transformation projects

## Strategic Projects

The Strategic transformation projects are designed to respond to some of the big challenges set out in our Strategy. A summary of each of the projects is included in the table below.

<b>Brand and Reputation Transformation Project</b>	
<b>EMT Lead:</b> Carl Vincent	<b>Project Lead:</b> Phil Wade
<b>Description:</b> A programme of activities to enhance our brand and reputation externally (e.g. Proactive media work, improvement to our digital channels)	
<p><b>Key achievements:</b></p> <ul style="list-style-type: none"> <li>• First Customer Satisfaction Survey (6 monthly PwC) developed, completed and reported in corporate KPIs</li> <li>• Proactive programme of media releases to support statistical releases and special reports (e.g. A &amp; E), contact programme and materials for journalists, and internal staff media training. Over 2k press queries answered pa</li> <li>• Social Media Policy developed and approved to a 'hub' and 'spoke' model. Social media monitoring tool deployed</li> <li>• Full programme of events (e.g. 13 in last 6 months) and speaking opportunities (&gt; 50 last 6 months)</li> <li>• Communications/materials to Local Area Teams and Clinical Commissioning Groups to drive uptake and utilisation of national systems and services (Choose and Book, GP2GP, Electronic Prescription Service, Summary Care Record)</li> <li>• Proactive communications and media support for high profile deliverables and increase key stakeholder understanding of new initiatives(e.g. HSCIC , Strategy, Busting Bureaucracy, Summary Care Record, Choose and Book etc)</li> <li>• Support for trusts to manage communications and media interest around complex go-lives of national systems such as Cerner and Lorenzo</li> <li>• New Brand identity deployed across physical and digital estate; brand guidelines developed and communicated; with Employer brand proposition in development</li> <li>• E bulletin launched with over 12k recipients and an improved (interim) website homepage delivered. Planning is underway for web move to GOV.UK</li> <li>• New Intranet, 'Insight' Staff magazine, weekly review and Monthly Directorate Briefings have established key means to engage with staff</li> <li>• Strong working input to other transformation projects ,specifically '<i>Publications strategy</i>', '<i>Customer</i>' and '<i>Patient engagement</i>'</li> </ul>	
<p><b>Summary outcomes and benefits recognised to date:</b></p> <ul style="list-style-type: none"> <li>• Strong Mechanisms and activities for communications have been established</li> <li>• Media coverage is up year on year and web visits &amp; satisfaction has increased</li> <li>• Presence at events and speaking opportunities has grown, so our presence in 14/15 is being sought</li> <li>• Internal communications channels receiving good use</li> </ul>	
<b>Recommended approach for 14/15: To remain as Transformation Project for 14/15.</b>	

- A good platform achieved but a further step change from year one has to be delivered
- Awareness activity around HSCIC corporate role needs to continue, also driven by activity tailored around key strands of our strategy- i) *Access to relevant information*, ii) *Trust in the HSCIC*, iii) *Our key role in delivering national technology services* and promotion around theme of systems that eliminate paper & improve efficiency, outcomes. With particular focus on the technology area needs and communications to enhance trust in our data management
- Transition to GOV.UK will be major programme and based on user needs analysis
- Communications will need to align to emerging 'Customer Relations' strategy from new ED with input from the customer needs/segmentation work

## Publications Strategy Development and Implementation

**EMT Lead:** Max Jones

**Project Lead:** Chris Roebuck

**Description:** A root and branch review of our publications activities and the production and implementation of a publications strategy.

### Key achievements:

- Project scope and approach paper approved, informed by the Leadership Forum
- Lead director appointed and function established as part of Data and Information Services to lead the work.
- A&E report published with supporting communications and media
- Establishment of an internal stakeholder engagement group;
- Commencement of publication review activity;
- Planning and preparation for external stakeholder engagement;
- Skeleton completion of project phase I output

### Summary outcomes and benefits recognised to date:

- Greater organisational understanding of our approach to publications (through Leadership Forum and WebEx)

### Recommended approach for 14/15: To remain as a Transformation Project for 14/15

Complete Review Phase (end May 14)

Strategy Phase (end Oct 14) and implementation Phase (end Feb 15) in parallel with continuing high profile tactical developments and publications.

This work will be lead by Data and Information Services working closely with the Communications team and across a number of the directorates.

## Stakeholder Relationship Management

**EMT Lead:** Mark Davies

**Project Lead:** Simon Croker

**Purpose:** Develop an approach to propose how best we should organise ourselves to most appropriately manage our external relationships, including our relationships with other national organisations

### Key achievements:

- Stakeholder Relationship Community of Interest Group engaged and a steering group established
- Project scope and approach paper approved

- As is assessment of approach to stakeholder relationship management completed
- Approach to undertaking stakeholder needs analysis initiated
- New landscape analysis work initiated
- Links to other projects established (e.g. Customer Satisfaction, Publications Strategy).

#### Summary outcomes and benefits recognised to date:

- Collaboration between different teams and directorates helping to break down silos and improve organisational understanding
- Greater cross organisation understanding of current approaches to stakeholder engagement and relationship management
- Consolidation of corporate knowledge of key stakeholders

Majority of outcomes and benefits will be realised in FY14/15 and beyond.

#### Recommended approach for 14/15: To remain as a Transformation Project for 14/15.

To complete report and options for incoming Director of Customer Relations and to implement the agreed approach for Stakeholder Relationship Management across the organisation. Led by the new Customer Relations Directorate, working across all parts of the organisation.

### Patient and Public Involvement

**EMT Lead:** Mark Davies

**Project Lead:** Simon Croker

**Description:** Develop and implement an organisation strategy for how we engage with citizens and patients and establish an Advisory Council for the HSCIC

#### Key achievements:

- Project scope and approach paper approved
- PPI survey delivered to national patient representative groups
- Further national Partners engaged
- Work on Vision, objectives, principles in progress
- Work on corporate statement of equality duty initiated
- Project aligned with Digital Media and Publications strategy
- Work on corporate policy for Reward and Recognition for non-HSCIC contributors initiated.

#### Summary outcomes and benefits recognised to date:

- Collaboration between different teams and directorates helping to break down silos and improve organisational understanding
- Understanding of approaches undertaken by other national organisations
- Views of national patient representative groups have informed development of the work
- Alignment of Reward and Recognition policy with other national organisations
- Raised profile of the HSCIC with other national organisations regarding its commitment to Patient and Public Involvement.

Majority of outcomes and benefits will be realised in FY14/15 and beyond.

**Recommended approach for 14/15:** The Public and Patient Involvement work is currently under review to ensure it aligns with the new corporate activities regarding corporate engagement and public affairs. Approach for 14/15 to be agreed, but will be led by the new

<b>Customer Relations Directorate.</b>	
<b>Innovations Hub</b>	
<b>EMT Lead:</b> Rob Shaw	<b>Project Lead:</b> Martin Spotswood
<b>Description:</b> Create an innovations hub for the HSCIC. This will help us to work with suppliers and partner organisations to develop innovative products and services that add real value to our customers and to citizens	
<b>Key achievements:</b> <ul style="list-style-type: none"> <li>Approaches considered by Leadership Forum</li> <li>Project Lead appointed</li> </ul>	
<b>Summary outcomes and benefits recognised to date:</b> <ul style="list-style-type: none"> <li>Outcomes and benefits not yet realised. Work planned for FY14/15</li> </ul>	
<b>Recommended approach for 14/15: To remain as Transformation Project for 14/15.</b> To develop and implement the HSCIC innovations hub approach.	
<b>Corporate Social Responsibility</b>	
<b>EMT Lead:</b> Rachael Allsop	<b>Project Lead:</b> Justine Brightwell
<b>Description:</b> A programme aimed at contributing to the local community and empowering staff to contribute directly by providing time to local organisations such as charities or Third Sector organisations.	
<b>Key achievements:</b> <ul style="list-style-type: none"> <li>Initial scoping work for HSCIC CSR approach.</li> </ul>	
<b>Summary outcomes and benefits recognised to date:</b> <ul style="list-style-type: none"> <li>Outcomes and benefits not yet realised. Work planned for FY14/15</li> </ul>	
<b>Recommended approach for 14/15: To remain as Transformation Project for 14/15.</b> To develop and implement the HSCIC approach to Corporate Social Responsibility.	

## Operational Management Projects

The Operational Management projects are designed to help us put in place clear corporate operational management processes and systems that will help us in our day to day work. A summary of each of the projects is included in the table below.

<b>Operational Governance</b>	
<b>EMT Lead:</b> Carl Vincent	<b>Project Lead:</b> Nic Fox
<b>Description:</b> Embed clear operational governance arrangements that all staff understand and have a single set of corporate and HR policies that are clearly communicated to the organisation	
<b>Key achievements:</b>	

- Day 1 operational governance arrangements implemented incorporating new approaches to staff engagement implemented including the Leadership Forum and Championing Change Forum.
- Mid-year review of operational governance arrangements completed and revised, streamlined arrangements implemented
- Full set of (20) HR policies agreed with JNCC and published
- 41 out of 49 corporate policies agreed and published.

#### Summary outcomes and benefits recognised to date:

- Effective and streamlined operational governance arrangements are in place – the organisation is making operational management decisions based on clear operational governance arrangements leading to improved effectiveness and enhanced accountability for decision making.
- Staff have a clear set of HR and corporate policies to work to leading to improved consistency and compliance with organisational corporate and employment policies.
- Leadership Forum gives our leadership teams a better understanding of our new collective organisation and organisational silos have been challenged
- Our Championing Change Forum gives all staff have a mechanism to raise organisational concerns, priorities and challenges in a structured mechanism contributing to increased employee engagement in corporate activities.

**Recommended approach for 14/15:** Project has delivered on core objectives. Close as a transformation project and handover to BAU management.

### Corporate ICT Delivery

**EMT Lead:** Carl Vincent

**Project Lead:** Michael Flintoft

**Purpose:** Deliver a consolidated corporate ICT infrastructure for the HSCIC across all of its offices including but not limited to telephony, desktop build, printing, networking.

#### Key achievements:

- VOIP rollout completed in all locations
- Managed print deployed to all locations
- ICT Acceptable Usage Policy agreed and issued
- Unified Desktop Build has now started deployment.
- New Active Directory is ready to begin migrations however work has been focussed on VOIP, the unified build and removing Windows XP from the estate
- Wireless connectivity is available in all hub and HQ sites

#### Summary outcomes and benefits recognised to date:

- All staff on single telephony service, improving efficiency and reducing ongoing telephony costs by £180k
- All staff can print consistently at all office locations
- Unified Desktop Build will result in simplified support arrangements reducing complexity and costs over time
- All staff have an ICT acceptable usage policy leading to a consistent understanding and appropriate usage of Corporate ICT resources
- Wireless connectivity enables greater use of hot desks and enables facilities to utilise additional space for hot desking e.g. café areas reducing the requirement for full sized desks to be utilised.

**Recommended approach for 14/15:** Project has delivered on core objectives. Residual

activity remaining but close as a transformation project and handover to BAU management.

### Corporate Performance Management

**EMT Lead:** Carl Vincent

**Project Lead:** John Willshere / Charles Lumley

**Purpose:** Develop and implement Performance Indicators and Key Performance Indicators at Board level, EMT level and Directorate level.

#### Key achievements:

- Performance Management Team created.
- Set of corporate KPIs linked to our strategic objectives created.
- Board and EMT level performance packs developed and in use.
- KPIs linked for each directorate created.
- Directorate level performance packs for all directorates developed and in use.
- Work started to gather requirements for the automation of the process that underpins the KPIs and performance packs.

#### Summary outcomes and benefits recognised to date:

- Agreed organisational priorities for performance reporting and how progress towards them should be measured.
- The performance packs provide monthly evidence based reporting on progress towards and achievement of the strategic goals of the organisation and each directorate.
- The performance packs show early warning of problems allowing timely corrective action.
- Each KPI has a KPI Owner which has created an environment of enhanced accountability and responsibility for decision making.
- The KPIs have provided enhanced data quality for business decisions.
- The new approach to performance management encourages exception management and reporting so that time and effort is spent on the areas that matter.

**Recommended approach for 14/15:** Project has delivered on core objectives. Residual activity remaining but close as a transformation project and handover to BAU management.

### Locations Strategy

**EMT Lead:** Carl Vincent

**Project Lead:** Andrew Griffiths

**Purpose:** Develop and implement a locations strategy that is driven by the needs of the organisation whilst being mindful of minimising unnecessary expenditure on office space and is in line with Government estates strategy. Support the strategy with appropriate organisational policy.

#### Key achievements:

- Locations principles agreed and Locations Policy approved and published
- Consultation with the organisation on location requirements and extension of hosted sites.
- Initial drafting and socialisation of Location & Estate Strategy completed and feedback incorporated
- Supporting data analysis paper for present locations completed

**Summary outcomes and benefits recognised to date:**

- Emerging change in behaviours relating to locations decisions for roles, increasing opportunities for a broader cross section of our staff
- Relocation of Slough to Reading in support of wider Govt strategy
- New project to merge Darlington, Waterside 4 and Bolden Park into a single building to generate cost and efficiency savings alongside supporting wider Govt strategy on minimising the estate

**Recommended approach for 14/15: To remain as Transformation Project for 14/15.**

It is expected that the next year will see EMT approve the Locations Strategy that will bring a step change through to 2016 and ultimately drive out benefits. During 14/15 a number of key location changes will take place for instance closure of LSP Hosted accommodation and move to Newcastle office.

**Corporate Information Systems Strategy****EMT Lead:** Max Jones**Project Lead:** Pending appointment of CIO (Internal)

**Purpose:** Deliver a Corporate Information Systems Strategy which will include but is not limited to the Intranet, Staff Directory, Collaboration, Document Sharing and a Document and Records Management Strategy.

**Key achievements:**

- Initial scoping workshop held to propose future structure and identify priority activities.

**Summary outcomes and benefits recognised to date:**

- Outcomes and benefits not yet realised. Work planned for FY14/15

**Recommended approach for 14/15: To remain as Transformation Project for 14/15.**

Work will be led by incoming CIO (internal). In the interim it is proposed that a cross organisational working group make recommendations to the Transformation Programme Board for the implementation of short term 'bottom up' improvements in Corporate Information Systems.

**Financial Management Systems Review****EMT Lead:** Carl Vincent**Project Lead:** Steve Leathley

**Purpose:** Review of our requirements for our Financial Management Systems through an assessment of the HSCIC finance function to understand to what extent financial management within the HSCIC supports the delivery of its strategic needs.

**Key achievements:**

- Former organisations Finance teams successfully merged
- PwC review of Financial Management Systems completed. Recommendations accepted and implementation plan agreed.
- Implementation approach for recommendations produced
- Work on Finance "Green Book" well underway which will change some accounting processes to facilitate improved managers understanding
- Agreement of approach for new reporting tool to improve forecasting, budgeting, reporting and business intelligence

<ul style="list-style-type: none"> <li>Proposed vision for Financial Management (and role of Finance Business Partner) set out.</li> <li>Proposals made for future reporting by portfolio item in addition to cost centre including the approach to implement a time recording system</li> </ul>	
<b>Summary outcomes and benefits recognised to date:</b> <ul style="list-style-type: none"> <li>Cross organisation input has shaped the PwC report leading to recommendations that are more likely to be accepted by the organisation.</li> <li>Majority of outcomes and benefits will start to be realised through FY14/15</li> </ul>	
<b>Recommended approach for 14/15: To remain as Transformation Project for 14/15.</b> Use of the “Green Book” to shape and improve accounting practices in the organisation, particularly with reference to forecast accuracy. Additionally a project is currently underway to implement a new financial reporting system throughout 2014/15 which will support efficiency improvements across the organisation as a whole.	
<b>Quality Systems</b>	
<b>EMT Lead:</b> Rob Shaw	<b>Project Lead:</b> Nicholas Oughtibridge
<b>Purpose:</b> Assess and propose the quality standards we should strive to achieve as an organisation.	
<b>Key achievements:</b> <ul style="list-style-type: none"> <li>Initial scoping and approach outlined for consideration by the Transformation Programme Board.</li> <li>Subsequent HSCIC Board discussion in response to care.data Health Select Committee agreed that we would progress with ISO9001 and IS27001.</li> </ul>	
<b>Summary outcomes and benefits recognised to date:</b> <ul style="list-style-type: none"> <li>Outcomes and benefits not yet realised. Work planned for FY14/15</li> </ul>	
<b>Recommended approach for 14/15: To remain as Transformation Project for 14/15.</b> Develop approach to Quality Systems and implementation plan for ISO9001 and IS27001 coordinated by Quality Management SME team in the Operations and Technical Services Directorate.	

## People Projects

The People transformation projects are designed to build the capability in our workforce to meet the challenges of delivering our Strategy. A summary of each of the projects is included in the table below.

<b>Embed Strategy and Values</b>	
<b>EMT Lead:</b> Rachael Allsop / Mark Davies	<b>Project Lead:</b> Linda Whalley / Nic Fox
<b>Description:</b> A Programme of activities to embed our purpose and values into our everyday practice through team working, performance management and recruitment	
<b>Key achievements:</b>	



- Significant contribution from across the organisation to develop and inform the HSCIC Strategy in particular from the Leadership Forum
- HSCIC Strategy published and supported by strategy and transformation staff seminars, WebEx with the Chair and Strategy Videos.
- values developed and approved
- Values launched through posters, intranet and included in the new PDR process.

#### Summary outcomes and benefits recognised to date:

- The medium term direction for the organisation has been clearly set out in our Strategy, providing clarity for staff on our purpose and objectives.
- The business plans for 14/15 have been driven by the priorities and commitments set out in the strategy ensuring a 'golden thread' can link organisation priorities through to directorate and then team and individual priorities and objectives.
- A broad leadership cohort (through the Leadership Forum) has had the opportunity to influence and shape the strategy.
- Our Values have been developed through a combination of top down (Leadership Forum and EMT) and bottom up (staff engagement sessions) involvement. This has brought together different staff groups and has resulted in a stronger set of agreed values
- Our Values provide us with the platform to positively change and influence behaviours, aligned to our Values
- Our Values and expectations of behaviours linked to each Value provide the mechanism for structure feedback on behaviours through the new PDR Process.

**Recommended approach for 14/15:** As the Strategy and Values has been developed and published, the mechanism for embedding these will be through a variety of mechanisms – e.g. through PDRs, Line Management Development, team based work, Recruitment approaches. Therefore close as a transformation project and embed through approach to transformation outlined for 14/15 putting our values at the centre of everything we do.

#### Professional Groups

**EMT Lead:** Rachael Allsop

**Project Lead:** Tim Roebuck / Rob Scott

**Purpose:** Build vibrant professional communities across the organisation, to share knowledge, develop standard ways of working, provide a clear view of relevant professional training requirements and to support staff in shaping career paths with professional competencies and consistent job descriptions.

#### Key achievements:

- Six Professional Groups and 25 HSCIC Professions have been defined and agreed
- The purpose of the professional groups has been communicated to the organisation and staff have been asked to self select into a group. At the time of writing approximately two thirds of the organisation have selected into a group
- A number of groups have held kick off sessions and started communities of interest.
- Supporting the Cohort Recruitment work, some of the professional groups have developed standard job descriptions and tactical resourcing approaches.
- The professional competencies (to be developed by the professional groups) are included as part of the new PDR process.

#### Summary outcomes and benefits recognised to date:

- The organisation has a clear view of the professional split of its workforce and is therefore better able to plan future resourcing models and decisions

- The development of standard job descriptions will help to reduce end to end recruitment timescales and lead to great consistency of future recruits.
- The development and creation of the groups have brought together staff from different directorates and different legacy organisations, helping to break down barriers and silos
- Those groups that have met are already contributing to sharing knowledge and improving consistency of working.
- Early direction has been provided by Professional Group leads to inform appropriateness of professional training and development.

### Recommended approach for 14/15: To remain as Transformation Project for 14/15.

Significant further concerted effort is required to fully embed professional groups into self sustaining communities of interest. Initial targets are for all groups to have established communities of interest by end April 14 and to have developed their competency frameworks and standard Job Descriptions by the end of June 14.

## Performance Management

**EMT Lead:** Rachael Allsop

**Project Lead:** Tim Roebuck / Justine Brightwell

**Purpose:** Introduce a new PDR process ready for 14/15 which will be linked to our organisation values and line management capability. A second phase will consider links to career frameworks for the professional groups.

### Key achievements:

- New PDR process for 2014/15 has been developed and launched bringing together a number of new elements including Values, Line Manager Charter and links to professional competencies to be developed by the Professional Groups.
- The new PDR process signals the intention to move towards talent management through performance and potential identification.

### Summary outcomes and benefits recognised to date:

- The new PDR Forum and Process brings together a number of components providing a formal mechanism to assess individual performance against our values, line manager charter and developing professional competencies as well as business objectives. This will allow for a more rounded assessment process and will allow for a structured identification of competence and development needs.
- The new process outlines the intention to introduce talent management through performance and potential identification which will provide the platform on which to develop this in 2014/15.
- In preparation for the launch of the new PDR process awareness has been raised about the approach to performance management and the new PDR process.

**Recommended approach for 14/15:** The new PDR process needs to be embedded throughout the organisation during 2014/15. This needs to be driven through line managers but will also be linked to other corporate activity such as internal recruitment. To continue as a transformation project for 14/15 but linked to line management development.

## Line Management Development

**EMT Lead:** Rachael Allsop

**Project Lead:** Jenny Allen / Justine Brightwell

**Purpose:** The Line Management Development Programme will support line managers and

will focus on core line management skills and responsibilities including policies and processes, performance management, development and talent management and embedding our values. It may include line management accreditation.

#### Key achievements:

- Line Manager Charter developed and published
- Phase 1 of the Line Management Development programme (Priority Policies) has commenced and training designed and initiated for Organisational Change and Performance Management.

#### Summary outcomes and benefits recognised to date:

- Our Line Manager Charter is a **bespoke document, fit for purpose for our organisation** developed through a combination of top down (Leadership Forum) and bottom up (via Championing Change Forum) involvement
- Our Line Manager Charters provide us with the **platform to positively change** and influence line manager behaviours.
- Our Line Manager Charter **provides a mechanism for structured feedback through the PDR process** to improve line manager performance and behaviours.
- We have provided the **capability to increase our line managers knowledge and understanding** of policies through delivery of consistent line manager training aligned with our policies on Organisation Change and Performance Management.

#### Recommended approach for 14/15: To remain as Transformation Project for 14/15.

Line Management Development remains a core transformation priority for 14/15 and should continue as a core project also linked to performance management of staff. Focus will need to remain on Phase 1 (Priority policy training) and on developing Phase 2 which will be in response to individual line management development needs outlined in PDRs against the Line Manager Charter.

### Health and Wellbeing

**EMT Lead:** Rachael Allsop

**Project Lead:** Ken Baker

**Purpose:** Will identify a series of activities to help staff to understand what support is available to improve health and wellbeing.

#### Key achievements:

- Existing health and wellbeing services available to staff communicated via the Intranet

#### Summary outcomes and benefits recognised to date:

- Staff have been able to benefit from the health and wellbeing benefits available to them.

**Recommended approach for 14/15:** Further work is required to enhance our health and wellbeing approach. It is proposed that this is lead as a mainstream HR function and outputs and not part of the core of the transformation approach for 14/15. Elements will also be linked to our Corporate Social Responsibility Programme.

### Leadership Development

**EMT Lead:** Rachael Allsop

**Project Lead:** Tim Roebuck / Nic Fox

**Purpose:** A leadership programme for staff identified in leadership positions. Initially this

may involve availability of leadership coaching.

#### Key achievements:

- Leadership Forum established (attended by EMT Directors and their Direct Reports) and has met approximately every 6 weeks.
- As part of the work on developing elite health practices we have identified three leadership related practices at which we should strive to be elite (Consultative Leadership, Challenging Leadership and Inspirational Leaders)

#### Summary outcomes and benefits recognised to date:

- The Leadership Forum has allowed the top 50 – 60 leaders in our organisation to contribute significantly to the early development of our organisation, to shape our Strategy and Transformation Programme and to get a better understanding of our new organisation.
- Through the staff survey we have taken benchmarks in summer 13 and again at March 14 of staff views against these leadership attributes.

#### Recommended approach for 14/15: To remain as Transformation Project for 14/15.

Our approach to Leadership Development needs to be informed by our new Executive Management Team, so the initial focus for 14/15 will be to develop the approach to Leadership Development and then to implement this.

#### Reward Review

**EMT Lead:** Rachael Allsop

**Project Lead:** Ken Baker

**Purpose:** Undertake a review of our current application of the Agenda for Change framework and DH and Cabinet Office Guidance for Executive Non Departmental Public Bodies and propose an approach for the most effective use of these frameworks.

#### Key achievements:

- Equal pay audit completed and identified potential equal pay issues are being addressed on a priority basis (linked to organisational change)
- Pay workshop held with directors and their senior reports to identify a range of pay related issues for action.
- Initial review of salaries over £100,000 per year conducted in response to the government drive to demonstrate restraint in senior staff pay.
- Initial approach for managing additional payments developed and considered by EMT
- High level approach to reward set out in our Workforce Strategy.

#### Summary outcomes and benefits recognised to date:

- We understand (through the equal pay audit) any potential equal pay issues as a result of our inheritance of staff
- We have (on a priority basis) started to **address and resolve equal pay issues** as identified in the audit
- We have an agreed approach for dealing with new additional payments ensuring that robust controls and a consistent approach is in place **resulting in improved equality and fairness**

#### Recommended approach for 14/15: To remain as Transformation Project for 14/15.

Over the course of the next 12 months we will be working with managers, staff and their

trades union representatives to develop a pay and reward strategy. There is like to be increased scrutiny on our approach to pay and reward and recruitment during 2014/15. Proposed that Reward remains are a core transformation project for 14/15, combined with recruitment into a **Recruitment and Reward Project**.

## Recruitment and Talent Attraction

**EMT Lead:** Rachael Allsop

**Project Lead:** Ken Baker / Jenny Allen

**Purpose:** Develop options to improve targeted recruitment and to launch graduate recruitment and apprenticeship schemes and meet our ambition to be an employer of choice.

### Key achievements:

- Prioritised cohort recruitment activity to get focus on priority cohorts of vacancies
- Recruitment marketing supplier engaged to support us with labour market analysis, employer branding and routes to market.
- Employer brand proposition developed.
- Recruitment controls clarified.
- Approach to our first work placements scheme to run in summer 2014 developed.
- Standard job descriptions developed (through professional groups) to support cohort recruitment activity.
- Focus groups held with recent new recruits to our organisation to understand their recruitment experience
- A more systematic approach to exit interviews and collecting turnover information has commenced.
- Strategic approach to recruitment and talent attraction outlined in our Workforce Strategy.
- Recruitment processes streamlined and additional recruitment capacity identified and recruited.

### Summary outcomes and benefits recognised to date:

- The cohort recruitment process is addressing and **resolving a** number of barriers to recruitment.
- We have better insight **to shape our employer brand** (through focus groups) of the experience new recruits have when joining our organisation
- We have **improved insight** (through maturing exit interview / turnover analysis) of the reasons why staff leave our organisation **to inform future recruitment strategies and address organisational issues**
- We are able to **increase our talent pool for new roles** through the ability now to be able to recruit externally at the same time as internally We now have the capability and capacity to undertake labour market analysis for hard to fill roles

### Recommended approach for 14/15: To remain as Transformation Project for 14/15.

There is like to be increased scrutiny on our approach to pay and reward and recruitment during 2014/15. Proposed that Reward remains are a core transformation project for 14/15, combined with recruitment into a **Recruitment and Reward Project**.

## Integration Projects

The Integration transformation projects have been identified where activities occur in multiple directorates that may overlap or complement each other. A summary of each of the projects is included in the table below.

<b>Service Management and Integration</b>	
<b>EMT Lead:</b> Rob Shaw	<b>Project Lead:</b> Kevin Holland
<b>Description:</b> To standardise our approach and consistently deliver service management capabilities across the organisation implement the Service Integration and Management approach.	
<b>Key achievements:</b> <ul style="list-style-type: none"> <li>• Approach agreed and project team fully mobilised</li> <li>• SIAM Operating Model created</li> <li>• As is capture and gap analysis in progress</li> <li>• SIAM Partners being sourced</li> </ul>	
<b>Summary outcomes and benefits recognised to date:</b> <ul style="list-style-type: none"> <li>• Development of the operating model has required input and debate across the organisation which has helped to drive out a better understanding of what SIAM means to the organisation.</li> <li>• Spine 2 processes developed and being tested in readiness for go live</li> </ul>	
<b>Recommended approach for 14/15:</b> Complete the gap analysis across the organisation. Transition of Priority Services, determined by the gap analysis, to agreed SIAM operating model, followed by transition of all services in scope. Led and managed by Operations and Technical Services, but will require working across a number of the directorates.	
<b>Contact Centre / Service Desk Strategy</b>	
<b>EMT Lead:</b> Rob Shaw	<b>Project Lead:</b> Sean Walsh
<b>Purpose:</b> Undertake a review of our contact centre and service desk provision to set our organisational strategy and develop options for optimising these services (e.g. using common toolsets).	
<b>Key achievements:</b> <ul style="list-style-type: none"> <li>• Approach agreed and project team fully mobilised</li> <li>• Workshops held and input from all areas of the organisation providing helpdesks / service desks to inform the development of the HSCIC Contact Centre Strategy</li> <li>• HSCIC Contact Centre Strategy produced and approved by the Transformation Programme Board.</li> </ul>	
<b>Summary outcomes and benefits recognised to date:</b> <ul style="list-style-type: none"> <li>• All delivery groups from across the organisation have worked together to develop the strategy, helping to break down silos and improve organisational understanding.</li> <li>• The organisation now has a collective understanding of our contact centre / service desk provision with comparisons against industry benchmarks for cost and</li> </ul>	

<p>effectiveness.</p> <ul style="list-style-type: none"> <li>• The organisation is able to plan future provision of service desk requirements set against a clear baseline and benchmark of provision.</li> <li>• The organisation has an agreed approach to coordinating the future activities of our contact centre / service desk provision which will lead to a more consistent approach</li> <li>• A new “governance” group will establish a Terms of Reference and will establish a plan to put in place service improvements across the Contact Centre Delivery areas.</li> <li>• The group will deliver optimisation and efficiency projects across the service and foster closer collaboration and working and maximise the value which the function provides to the organisation.</li> </ul>	
<p><b>Recommended approach for 14/15:</b> Project has delivered on core objectives. Close as a transformation project and establish the overarching “governance” group to oversee implementation of recommendations and to coordinate contact centre activity across the organisation.</p>	
<p><b>Data Asset Utilisation Review</b></p>	
<p><b>EMT Lead:</b> Max Jones</p>	<p><b>Project Lead:</b> Chris Roebuck</p>
<p><b>Purpose:</b> Undertake a comprehensive data asset review of all the data we hold as an organisation and develop a data asset utilisation strategy which make recommendations for maximising the benefits to society of the data that we hold.</p>	
<p><b>Key achievements:</b></p> <ul style="list-style-type: none"> <li>• Project scope agreed and project lead in place</li> <li>• Staff recruited to join the team in May.</li> <li>• Information Asset Register delivery continues (outside project; coordinated by IG team)</li> </ul>	
<p><b>Summary outcomes and benefits recognised to date:</b></p> <p>Outcomes and benefits not yet realised. Work planned for FY14/15</p>	
<p><b>Recommended approach for 14/15:</b> Focus will be on developing the Data Asset Utilisation Strategy. Led and managed by Data and Information Services, but will require working across all parts of the organisation.</p>	
<p><b>Services Transformation Project for Standardisation Committee for Care Information (SCCI)</b></p>	
<p><b>EMT Lead:</b> Max Jones</p>	<p><b>Project Lead:</b> Ken Lunn</p>
<p><b>Purpose:</b> Definition and implementation of services required to deliver information standards, collections and extractions and support the Standardisation Committee for Care Information (SCCI).</p>	
<p><b>Key achievements:</b></p> <ul style="list-style-type: none"> <li>• Scope understood and agreed with ISCG sub group, EMT and Transformation Programme Board.</li> <li>• The proposed structure, processes and outcomes for Information Standards and Collections (including extractions) documented.</li> <li>• Pilot of Idea to Need Service (the first part of the process), with Statement of Needs accepted by the SCCI Board in both January and February 2014.</li> <li>• Definition of the Need to Requirement, Publication, Development Support and</li> </ul>	

Independent Advice and Appraisal Services as they intend to operate as of 1 April 2014.

**Summary outcomes and benefits recognised to date:**

- Unambiguous understanding of the HSCIC obligations under the new Standardisation Committee for Care Information.
- Removing internal inefficiencies via a decrease of the silos associated with the delivery of information standards, collections and extractions across HSCIC.

The majority of outcomes and benefits will be realised in FY14/15 and beyond.

**Recommended approach for 14/15: To remain as Transformation Project for 14/15.**

- Delivering essential changes to services and forums to ensure the SCCI is functional from April 2014 onwards.(Q1 2014/15)
- Consolidating and incrementally improving these services in the medium term (Q2 2014/15).
- Building upon these services in the longer term with integrated Design Services, Data Architecture Services and Relationship Management across a number of directorates. (Q4 2014/15).



## Appendix B: Summary of directorate transformation projects

Finance and Corporate Services Transformation Project	
<b>EMT Lead:</b> Carl Vincent	<b>Transformation Lead:</b> Steven McDonald
<p><b>Description:</b></p> <p>This is a project within the HSCIC Transformation Programme. The aim is to deliver the transformation required across the Finance and Corporate Services directorate to enable it to meet its stated directorate purpose:</p> <p><b>“We deliver key corporate services, infrastructure and expertise that secure the probity, financial health and reputation of the organisation, and are essential for the HSCIC to deliver high quality information, data and IT systems.”</b></p>	
<p><b>Key achievements:</b></p> <p>The transformation programme within the Directorate has delivered the following key achievements to date</p>	
<p><b>Financial:</b></p> <ul style="list-style-type: none"> <li>• Established effective models for managing finances and communication between the HSCIC, its Sponsor and Commissioners</li> <li>• Identified and realised cost efficiencies that contribute to the HSCIC meeting cost and funding targets</li> <li>• Following a review by PWC on our Financial Management Systems the team are currently creating a “Green Book” which will identify and in some cases change some accounting processes to facilitate improved understanding.</li> <li>• Approach agreed for a new reporting tool to improve forecasting, budgeting, reporting and business intelligence which is expected to be implemented in 14/15.</li> <li>• The Finance Team have set out a proposed vision for Financial Management (and role of Finance Business Partner) which will be implemented in 14/15.</li> </ul>	
<p><b>Performance</b></p> <ul style="list-style-type: none"> <li>• Established a single set of operating practices that lead to effective performance management</li> <li>• Enhanced Corporate Performance by establishing a Portfolio Board and subsequently created a full portfolio database.</li> <li>• KPIs linked to our organisational strategic objectives have been agreed and reporting implemented at Board, EMT Directorate level.</li> </ul>	
<p><b>Communications/Stakeholder Engagement</b></p> <ul style="list-style-type: none"> <li>• First Customer Satisfaction Survey (6 monthly PwC) developed , completed and reported in corporate KPIs</li> <li>• Social Media Policy approved and a social media monitoring tool deployed</li> <li>• New Brand identity deployed across physical and digital estate; brand guidelines developed and communicated and used in events, suite of collateral</li> <li>• Proactive programme of media and communication releases (including interim website homepage) to support not only organisational objectives but to support key</li> </ul>	

- stakeholder understanding of new initiatives
- Digital development strategy completed

### **Estates and IT Services**

- A number of IT initiatives have been implemented to deliver enhanced service and efficiencies.
- Locations Policy approved and published. Additionally a consultation with the organisation on location requirements and extension of hosted sites has taken place.
- Enhanced Corporate Performance by establishing a Portfolio Board and subsequently created a full portfolio database.
- Directorate led ZBR, Business planning and Performance Pack / KPI development.

### **Summary outcomes and benefits recognised to date:**

#### **Financial:**

- The PwC report was shaped with input from across the organisation which should lead to recommendations that are more likely to be accepted by the organisation and implemented in 14/15
- Breakdown of silo working
- Majority of outcomes and benefits will start to be realised through FY14/15.

#### **Performance:**

- Organisational Operational governance arrangements are in place ensuring efficient and clear decision making.
- The performance packs provide monthly evidence based reporting on progress towards and achievement of the strategic goals while enabling the identification of the early warning of problems allowing timely corrective action.
- The directorate has a clear vision and purpose aligned with the organisation level purpose, objectives and values.

#### **Communications /Stakeholder Engagement**

- Organisational wide presence within the system continues to grow
- Enhanced internal communication across the organisation

#### **Estates and IT Services**

- Improved efficiency has resulted in reduced costs
- Unified Desktop Build will result in simplified support arrangements reducing complexity and costs over time
- All staff have an ICT acceptable usage policy leading to a consistent understanding and appropriate usage of Corporate ICT resources
- Wireless connectivity enables greater use of hot desks and enables facilities to utilise additional space for hot desking

#### **Focus for 14/15:**

The Directorate will continue to build on achievements today with a renewed focus on the following key areas:

- The directorate will continue to develop our culture of service support to the organisation by providing subject matter expertise, reliable and robust support to internal customers and ensure that we achieve in our activities which directly support the HSCIC's external commitments.

- The directorate will place greater emphasis on supporting the business and improving delivery across all sub-directorates.
- Implement proposal for change of senior management structure across Commercial and procurement sub-directorates
- Ensure that we have a motivated, effective workforce in the right numbers and with the right skills, values and behaviours to deliver.
- Develop, in conjunction with HR, a recruitment / workforce strategy for specialist staff needed in the directorate which prove difficult to recruit
- Improvement in employee satisfaction.
- Deliver an online financial reporting tool to streamline processes across the organisation and enhance efficiency
- Formalise commissioning arrangements at corporate level with initial focus on DH & NHS England throughout 14/15 to assure effectively delivery of portfolio while enhancing financial accountability.

### Data and Information Services Transformation Project

**EMT Lead:** Max Jones

**Transformation Lead:** Rowena Herbert

**Description:** To deliver the transformation required across the Data & Information Directorate to support the delivery of the overall directorate purpose. This is to ensure that the Directorate provides a high quality, timely data and information service to Health and Social Care organisations.

#### Key achievements:

- Level 1 Organisation Structure implemented
- Level 2 Organisation Structure Proposal for Change developed and approved, following consultation with impacted staff and positive discussions with JNCC. Slotting in/redeployment activities underway.
- Initiation of D&IS Management Forum. First meeting held with focus on reflecting on the Health Select Committee (HSC) session and actions arising.
- Establishment of a D&IS Transformation Steering Group with representation from all functions within the Directorate. The remit of this Group is to make recommendations related to Transformation activities to either the D&IS Senior Management Team or to the Transformation Programme Board. Key activity will be to share information cross Directorate and to identify gaps or duplication in activity.
- First illustration of need for cross Directorate collaboration identified (Core Data Asset Registers) and taken to Business Design Forum for consideration.

#### Summary outcomes and benefits recognised to date:

The inheritance of a diverse workforce of professions, locations and culture and an immediate recent history of a long transitional period for the majority of our staff brings significant challenges in developing consistently excellent behaviours and ways of working for the new Directorate. Through FY13/14 our focus has been on building the workforce 'foundations' to ensure appropriate resources are available to meet ongoing delivery objectives and support new Programmes of work.

The activities underway (Management Forum etc) are expected to benefit staff engagement and information sharing, but it is early days to see this yet.

The Level 2 reorganisation has delayed recruitment/redeployment to vacancies; hence at

present, to many staff the Directorate Level Transformation activities are not seen as positive.

Similarly, the organisation level People initiatives have not yet had a positive impact directly on staff within the Directorate.

However, with the foundations now in place at Directorate and Organisational level, it is expected that the Directorate will be able to build on these in 2014/15 and that more significant outcomes of business change will be demonstrated during this time.

#### Focus for 14/15:

Our success as a Directorate is entirely dependent on our workforce. Through 2014/15 we will work to implement the HSCIC Workforce Strategy which sets out our approaches to meeting the challenge of being a high performing organisation with an international reputation that is recognised as an outstanding place to work. To do this, we will need the right culture, right number of people, with the right skills, in the right place, at the right level and at the right cost. The Directorate Transformation Project will be the main driver for the internal development and business change to help us to meet our ambitions.

In 2014/15, we will build our workforce capability aligned to our delivery roadmap with appropriate mechanisms and approaches to enable us to deal with changing priorities. We will do this by:

- Putting an emphasis on building trust with patients/public through post HSC activities with a focus on the application of organisational core values in everything we do.
- Investing in the professional development of our staff and the embedding of the People projects rolled out in 2013/14.
- Reviewing our portfolio of work by customer need, benefit and value for money to ensure resources are allocated to the areas where most customer benefits can be realised and deliver maximum value for the public purse.
- Developing a flexible workforce approach (building on existing good practice) in order to shape the directorate for the challenges ahead and add value where needed. This will include:
  - Implementation of Level 2 structure and redeployment/slotting into Level 2 posts
  - Redeployment/Recruitment to Level 2 vacancies and implementation of further organisational change as needed, following the Organisational Change Policy
- Considering partnerships and secondments to share and build our knowledge across other areas and sectors.

### Programme Delivery Transformation Project

**EMT Lead:** James Hawkins

**Transformation Lead:** Tom Whitehead

**Description:** The overarching outcomes of the Programme Delivery Directorate Transformation are:

- To align the vision, purpose and values for the directorate to those of the organisation.
- To implement the superset of transformation programme projects in line with agreed central transformation programme delivery timescales.
- To investigate the opportunities and benefits of moving to a more flexible and efficient way of deploying staff in order to meet emerging business and staff development needs.

- To implement a number of people development initiatives via the professional group to improve staff retention, capacity, capability and satisfaction.
  - Definition of professional training principles, creation of bespoke education and learning materials.
- Increase the overall effectiveness of project and programme delivery.
  - Rollout of robust programme controls
  - Flattening of organisation structures, increasing accountability and reducing bureaucracy.
  - Implementation of best practice knowledge management principles, including pre populated templates and the creation of knowledge assets.
- Increase effective communication across the directorate and leadership visibility via staff engagement.
- For the Programmes Delivery Directorate to be recognised as a world class delivery function across government.

#### **Key achievements:**

- The flattening of the Programmes Delivery Directorate (PDD) organisational structure by combining a number of delivery teams under a single line of leadership and accountability;
- Single renewal programmes created for N3 & PSN and NHS Mail 1&2 with a single leadership role created for each programme.
- Completion of permanent recruitment for leadership roles in central networks, NHS Mail 1&2 and e-RS.
- The TUPE transfer of NHS Choices Capita staff was completed as planned on the 31st July 2013.
- The roll out of robust programme controls, zero based reviews and governance reviews across all programmes; and
- The creation of the Project and Programme Delivery Professional Group including definition and approval to proceed with key projects:
  - Education Learning and Development (Including competency framework).
  - Knowledge Management.
  - Tactical and Strategic Resourcing (Including generic job descriptions).
- Regular programme of staff stand ups, hub visits and Director blogs completed.

#### **Summary outcomes and benefits recognised to date:**

- Improved accountability for delivery through the revised organisation structures
- Improved accountability and delivery controls through the roll out of robust programme controls.
- Breaking down of silos and bringing together different project and programme professionals through the development of the Professional Groups.
- Professional development of staff through the development of the Professional Groups.
- Demonstration of organisational values and leadership of professional groups development across the organisation.

**Focus for 14/15:** Continue the investment in the development of the Project and Programme Delivery Professional Group to develop consistent ways of working and to develop options for a more flexible workforce. To embed the organisation wide approaches to Line Management Development, Values and Performance Management and make relevant to the directorate.

<b>LSP Delivery Transformation Project</b>	
<b>EMT Lead:</b> Tom Denwood	<b>Transformation Lead:</b> Fraser Carlisle
<b>Description:</b>	
<p>The purpose of the transformation, case for change and detailed approach were set out in the Proposal for Change and Confirmed Changes documents.</p> <p>The proposed future structure was designed with a number of goals in mind and in response to the LSP Delivery Assurance Review and the emerging strategy of the HSCIC.</p> <p>The future design aimed to:</p> <ol style="list-style-type: none"> <li>1. ensure the LSP Delivery Directorate supports, and is in line with, the developing HSCIC strategic direction with a greater focus on Social Care;</li> <li>2. support the LSP Programmes SRO to deliver on his commitments at a local level;</li> <li>3. ensure a safe, secure and timely exit for customer trusts from the LSP contracts;</li> <li>4. be a lean and delivery focused team utilising the skills from across the existing LSP Delivery Directorate in teams with a shared and clearly understood delivery objective;</li> <li>5. recognise that the LSP programmes are approaching the end of their lifecycles and therefore provide succession opportunities for staff, and succession planning for the workforce as a whole within the Directorate and HSCIC. This includes maximising the opportunities for staff to move on from LSP programmes as they close down, providing team members with development opportunities and role flexibility for the future;</li> <li>6. work in partnership with other directorates who will provide specialist skills to the LSP Delivery Directorate as opposed to embedding these skills within the Directorate itself. Any such existing embedded functions in the LSP Delivery Directorate will be transferred as part of the transformation.</li> </ol>	
<b>Key achievements:</b>	
<ul style="list-style-type: none"> <li>• Case for change and proposal for change published</li> <li>• Formal collective consultation complete</li> <li>• Implementation in progress <ul style="list-style-type: none"> <li>○ Ring fenced competition complete</li> <li>○ Limited competition in progress</li> <li>○ Circa 70% of blue print resourced (as at mid March 2014)</li> </ul> </li> <li>• Staff notified of at risk of redundancy status – 16.12.2013</li> <li>• Compulsory and voluntary redundancies approved by Remuneration Committee</li> <li>• GAC approval of VR and CR submitted. Due w/e 28.3.2014</li> <li>• Guidance and repositories created to support this and re-use by other transformations</li> </ul>	
<b>Summary outcomes and benefits recognised to date:</b>	
<ul style="list-style-type: none"> <li>• Streamlined, efficient, lean organisation in place</li> <li>• Staff fully engaged in process</li> <li>• Organisation optimised to programme needs and commissioned work</li> <li>• Staff from 12 sending organisations ... into new LSP structure</li> </ul>	
<b>Focus for 14/15:</b>	

- Formal start of new org structure- April 14
- Recognition of past successes/ forward scene/culture setting April 14
- Lessons Learned workshop – 23.4.2014
- Compulsory redundancies by end June 14
- Voluntary redundancies between 1.4.14 and 30.6.14
- Formal project closure
- Directorate and programme team establishment and embedding events
- Implementation of HSCIC wide focus areas (line manager charter, line manager development, PDR process etc.)
- Development of tactical and strategic flexible resourcing models in support of PACS exit and wider HSCIC needs
- Continuous culture development

## Operations and Technical Services Transformation Project

**EMT Lead:** Rob Shaw

**Transformation Lead:** Terry Hill

### Description:

#### Service Management Transformation

The purpose of the Service Management Transformation is to ensure that the new Service Organisation within O&TS is able to:-

7. Ensure the Service Management teams supports, and is in line with, the developing HSCIC strategic direction with a greater focus on Social Care;
8. Ensure the O&TS Directorate is in the best shape as an organisation to deliver and support services in house;
9. Be a lean and delivery focused team utilising the skills from across the existing Directorate in teams with a shared and clearly understood delivery objective;
10. Support the LSP and National Programme SRO's to deliver on their commitments.
11. Ensure a safe, secure and timely exit for customer trusts from the National and LSP contracts;

#### Solutions Assurance

1. To develop a proposal for the transformation of the Solution Assurance Group that aligns to future strategy and core business activities of HSCIC.
2. The Transformation will result in Solution Assurance evolving their service provision and structure to align with the strategy and future needs of HSCIC and its customers.

#### Technical Architecture & Infrastructure

1. The Technical Architecture and Infrastructure capability is aligned to the developing HSCIC strategic direction with a greater focus on Social Care;
2. Ensure that a central technical design and architecture governance function is developed and implemented with organisational wide scope;
3. To ensure that the core elements of an Enterprise Architecture are brought together to enable effective technical decision making within the organisation and externally;
4. Support existing programme technical architecture assurance to ensure continuity of services and applications;
5. Support the directorate to deliver an organisational wide recognised centre of

technical expertise.

### **Programme Management Office**

The purpose of the PMO Transformation is to ensure that the new O&TS organisation is supported by:-

1. Appropriate Programme and Project Controls
2. Effective and efficient business processes that deliver pan directorate value
3. Efficient interfaces with the HSCIC governance arrangements
4. An appropriately resourced and skilled PMO team and departmental representation
5. Flexible PMO operating model, service portfolio and catalogue

### **Key achievements:**

#### **Service Management**

1. Final Draft of Proposal for Change produced and ready to submit to Transformation Board and JNCC for review and approval.
2. Pre-Consultation engagement has commenced with staff following two briefings in Leeds and London on the 10<sup>th</sup> and 11<sup>th</sup> of March respectively.
3. Communication strategy has now initiated with formal issue of pre-consultation material including Transformation update, Q&A's and engagement of staff Change Leads.
4. Future organisational operating model and high level functional overview prepared subject to final review.

#### **Solutions Assurance**

##### **Introduction and Overview – Establishing the Baseline**

1. Baseline position of all current and known future activities and resources;
2. Identify and clarify funding sources highlighting key gaps and associated risks;
3. Overarching Communications plan

##### **Stage One – Validating the Options for Transformation**

1. Options Evaluation for proposed Future Operating Model and Organisation Structure
2. Proposed Future Transformed Operating Model including Senior Management Structure drafted and socialised with OTS director.

#### **Technical Architecture & Infrastructure**

1. Services have been identified and mapped to core role, demand profiles have been identified and an initial operating model is being developed.
2. A high level future state functional map and organisational structure is being prepared.
3. Preparation for next stage consultation and engagement underway.

### **Programme Management Office**

1. 'As is' position captured as regards PMO activity coverage across O&TS
2. Service Portfolio produced with associated workstream offerings described
3. PMO Framework developed aligning Directorate department activities



4. PMO structure options paper produced

### **Summary outcomes and benefits recognised to date:**

#### **Service Management**

1. Engaged and informed staff in the newly created service organisation are joining together as one combined team to improve the delivery of service to our customers.
2. The focus and support provided to high level stakeholders across the LSP and National contracts has not diminished and the excellent engagement with NHS Trusts continues during this period of change.
3. The support and commitment of staff during this transformation and subsequent consultation remains a key focus for the Transformation Management Team.

#### **Solutions Assurance**

1. Clear alignment of functions and single points of contact for accountability / responsibilities identified within the Directorate and Senior Team structure.
2. Generic Job Descriptions in place providing clear hierarchy of roles and clarity for career progression paths. Creation of generic approved Job Descriptions has also resulted in a reduction of timescales for the recruitment process.
3. Clear communication channels and whole team briefing including updates from 'Change Champion' implemented, ensuring the directorate are fully informed on transformation activities therefore avoiding uncertainties which could result in an impact to BAU activities.

#### **Technical Architecture & Infrastructure**

1. Better understanding of the future operating model based upon realistic projection of staff count
2. Recognition of the emerging importance of EA function and the need for a shift in balance from the as-is to future model
3. Realisation of the need for transformation to develop an operational management capability within the directorate – to enable the directorate to better manage workforce without increasing staff headcount. [Do more with the same]

#### **Programme Management Office**

1. Clear understanding of PMO value proposition across O&TS PMO community through stakeholder workshops
2. Execution of business as usual against the PMO framework, supporting Directorate Management Team; business planning, KPI performance reporting, collaborative working using SharePoint as examples. Continuity of service.
3. O&TS PMO team appointment of additional Planning and Reporting Manager to support the PMO Transformation and demand

### **Focus for 14/15:**

#### **Service Management**

The focus of the Service Management Transformation for the years 14/15 remains:-

1. There will be improved focus on the strategic objectives and activities of the HSCIC.
2. The move to in house Operational Support for key elements of the Programme will be supported.

3. There will be safe, secure exit from the National and LSP contracts.
4. Improved future retention of staff as a result of succession plans and career progression improvements;
5. Return on central investment will be improved by the focus on local and national benefits delivery capability;

### **Solutions Assurance**

Continue with the progression of Transformation.

1. Option evaluation and recommendation of proposed option(s) for Transformed Organisation structure at function level and operating model ;
2. Benefits statement for the recommended option;
3. High Level Implementation plan for proposed option;
4. Detailed Implementation Plan confirmed by;
5. Benefits Realisation Plan.
6. Implementation of the Transformation
7. Realisation of the Benefits

### **Technical Architecture & Infrastructure**

1. Delivery of the EA internally
2. Delivery of a governance function able to support the NIB and TAD functions
3. Delivery of a Technical Strategy
4. Complete transformation

### **Programme Management Office**

The focus of the PMO Transformation for the years 14/15 is:-

1. To determine the Directorate department requirements, from their transformation designs
2. To align the departmental transformation designs to the PMO Framework and deliver a formal PMO Service Portfolio
3. To establish O&TS PMO community to build best practice and innovation
4. To support the developing reporting requirements of the SIAM model and service delivery environment
5. To further enhance the KPI performance pack through continuous challenge of benefits delivered
6. To develop role professionals and talent as part of the Project and Programme Delivery Professional Group.

## **HR Transformation Project**

**EMT Lead:** Rachael Allsop

**Transformation Lead:** Justine Brightwell

**Description:** The purpose of the HR Transformation project is to ensure that the people, structures, services and delivery approaches within the HR Directorate, enable the delivery of the HR Directorate Objectives and support the Workforce Strategy and the HSCIC Strategy.

The overall purpose for the HR and Transformation directorate is :*“To transform the HSCIC*

*into a high performing organisation that is recognised as an outstanding place to work, through delivery of optimal HR services and development of the capability and capacity of the workforce”*

#### **Key achievements:**

##### **Internal Capability & Structure:**

- Implemented a new HR structure to deliver the essential routine HR services for the organisation as well as Organisation wide Transformation People projects.
- Established a Transformation programme.
- Implemented an HR administration team delivering first line support.
- Developed a consolidated programme plan to inform KPIs measurement and drive performance against plan.

##### **Service Provision:**

- Merged two HR Payroll systems into a single ESR system and developed a working structure.
- Agreed and launched a full set of harmonised employment HR policies and procedures from c 500 legacy HR policies and procedures from all 13 legacy organisations.
- Commenced a training programme for line managers on priority policies.
- Automated key transactional processes i.e. Changes and Leavers and implemented NHS Jobs 2 for recruitment and developed a revised recruitment process to align with this.
- Developed a Service Description to clarify the contribution of the HR Function and the organisation with EMT approval.
- Significant support to all the other directorates particularly LSP, in their transformation, capacity planning and the overall people related elements of their business plans.

##### **Communications and Engagement:**

- Engaged senior teams across the organisation to understand their key HR related issues.
- Developed customer satisfaction approach and commenced piloting the approach.
- Developed a communications and engagement plan.

##### **Continuous Quality Improvement:**

- Throughout 13/14 there have been some key activities implemented within the Directorate which support delivery as well as supporting the professional and personal development of staff. These include:
  - Regular Team events - focussed on strategic and corporate priorities, transformation and operational activities.
  - Staff survey action plan - this practically addresses the issues that arise from the staff survey feedback.
  - Case Conference meetings – regular meetings to review cases and building knowledge of best practice in the application of policy as well as identifying lessons learned.
  - Embedding Programme and Project management tools and capability – introducing robust directorate plans and risk management.
  - Professional development - managed through the Professional Groups the frameworks developed will support employees within the Directorate mainly within the following 4 groups: *Human Resources; Project and Programme delivery; Business Administration; Health Informatics.*

#### **Summary outcomes and benefits recognised to date:**

Throughout 13/14 the Directorate has been focussed on building the “foundations” required to transform the directorate and deliver the purpose and objectives. As a result there are a number of outcomes and benefits that have been accomplished for the directorate. These

are:

**Improved performance** through:

- Communication of business objectives to provide clarity for the team and contribute to team cohesion and overall team performance.
- Improved internal communications and engagement with a higher staff satisfaction score and improved morale.
- Building and sharing knowledge regarding complex areas of HR work e.g. organisational change policy process and issues, case work etc
- Programme and project management controls and an effective communications plans in place.
- Focusing on the values through team events.

**Increased efficiency** through:

- Restructure of the directorate to maximise our support to the organisation and a more effective management of workload.
- Automation of key transactional processes to support changes, leavers and recruitment.

**Focus for 14/15:**

The focus for 14 /15 is:

**Internal Capability & Structure**

- The directorate will increase its capacity further in order to deliver on people related transformation projects as well as supporting further directorate reorganisations and restructures.
- A dedicated recruitment team will be created within the HR Function, led by a Recruitment Manager and supported by a recruitment administrative team aligned to directorates.
- Further work will be undertaken to prepare for the migration of National Shared Services in late 2015.

**Service Provision**

- Development of robust SLAs associated with the Service Descriptions & measures.
- Development of fit for purpose, intuitive processes & systems

**Communications & Engagement**

- Implementation of customer service reviews to review performance with customers to inform future development.

The directorate will continue with case conference reviews, policy and process reviews as well as on team development events. Further work will also be done through team engagement events to embed the Values as well as focusing on innovation and knowledge management.

The outcomes and benefits expected for 14/15 as the directorate progresses within the transformational activities are:

**Overall Positive reputation of HR** through:

- Increase in customer's confidence in the advice HR provides and the delivery of fit for purpose processes and systems.
- Increase in customer confidence in ESR as the single source of the employee record.
- Development of professional capabilities and expertise to enhance the advice and support we offer to the organisation.
- Embedding the Service description and meeting the associated SLAs.

**Improved Line Management of staff across the organisation** through:

- Line Managers are more autonomous, requiring less support from HR colleagues regarding standard procedures.
- Teams will utilise professional expertise more frequently advising line managers on more complex matters.

**Clinical and Public Assurance****EMT Lead:** Mark Davies**Transformation Lead:** Simon Croker

**Description:** Following announcement of the new permanent top level structure for the organisation in which the Clinical and Public Assurance directorate ceased to exist, the focus of the transformation work for the directorate was to ensure the smooth transition of staff and functions to the appropriate new directorates.

**Key achievements:**

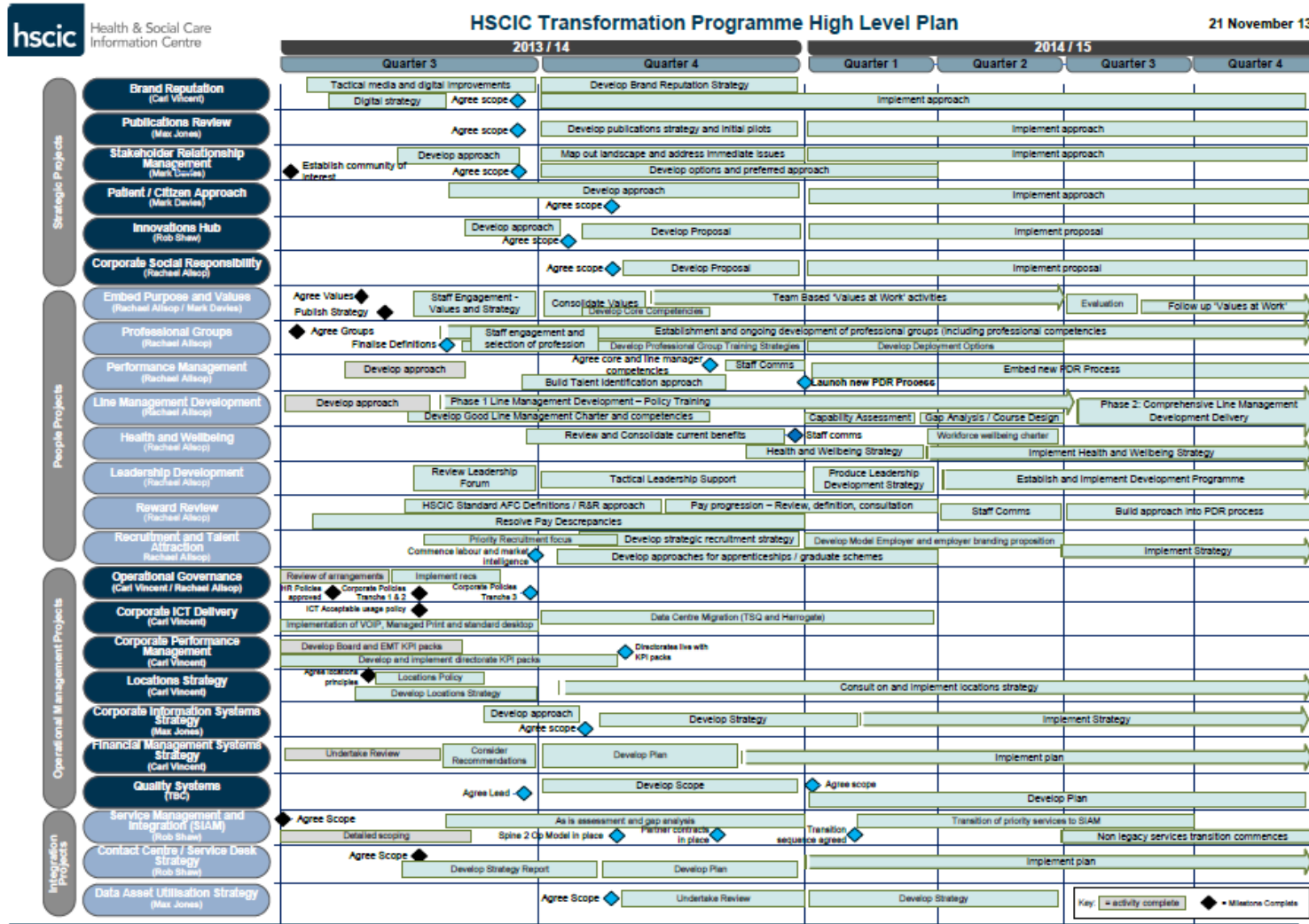
- Creation of Clinical Informatics Professional Group
- Transition of DISC team to HR Directorate
- Transition of staff and functions to new directorates

**Summary outcomes and benefits recognised to date:**

Successful integration of staff and functions into new directorates

**Focus for 14/15:** Not applicable. Directorate will cease to exist in 2014/15

# Appendix C: High level programme plan (November 13)



# Appendix D: High level programme plan (March 14)

