Informatics Change Framework April 2019 v.2

Change History

Version	Author	Change
v.1	Russell King	Final Draft following internal discussion and agreement principle with Informatics Senior Management Team and wider Informatics Briefing.
v. 2	Russell King	Updated following feedback

Approvals

Role	Name(s)	Date signed
Digital Steering Group	Chair – Maq Jaffer	May 2019 (Approval at DSG)

Contents

Background

The Informatics Change process has emerged and evolved over time and has largely been managed through the Informatics RFC (Request for Change) and CAB (Change Advisory Board) processes. However there are a number of wider Trust environmental and context changes that require the revision and formal documentation of the Informatics change process.

The drivers for the change are:

- **Approval of the 5 year Digital Strategy.** Mandating the delivery of a specific set of programmes and projects to a published plan
- **New Digital and Project Governance.** Approved by the Digital Steering Group in January 2019, requiring a greater control, evidence and reporting over change delivery
- **Trust Project Training Initiative.** A standardised the approach to Project Management & documentation being rolled out across the Trust in 2019
- **Practical Challenges to the Informatics CAB & Programme Planning Process.** Challenging a move away from a 'one size fits' approval meeting, process and documentation set.
- **Response to Audit Actions.** Action requirement following a number of audits and investigations

Principles

The Informatics Changes process will be underpinned by a number of guiding principles:

- All new projects whether within the Digital Strategy or requested by the wider Trust will require a RFC (Request for Change) to be initiated before Informatics commence work.
- Once a project or piece of work has been initiated and approved, subsequent changes/additions and work packages will not require additional RFCs but be managed through Project & programme governance or technical approval groups (using standard project documentation)
- Any release, change & implementation impacting live systems will require the release management documentation and process to be adhered to.
- Small system changes (pre-approved changes, account management, small configuration items) – will continue to be managed through the HoH process (House on the Hill System where small items and pre approved changes are managed through business as usual work queues).

High Level Process

High Level Change Framework
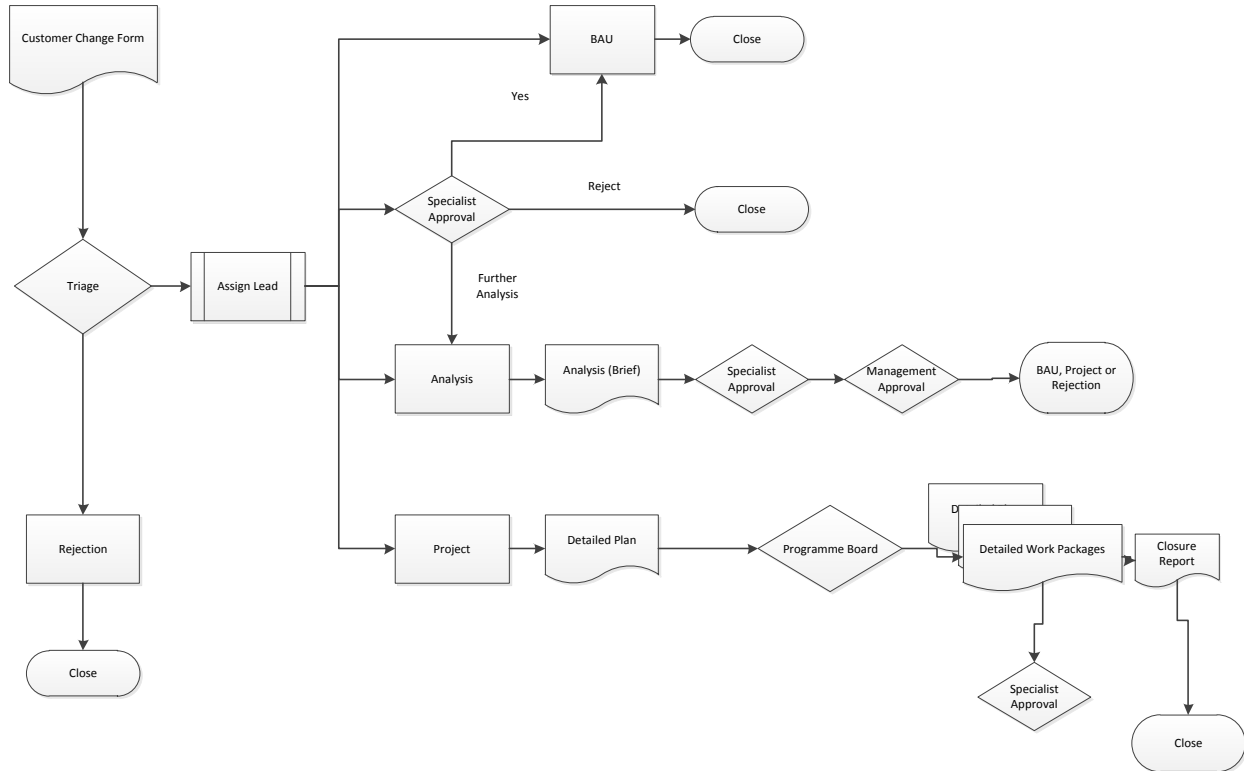

The detailed process can be seen in Section 4.

All new RFCs will reviewed and assessed and pushed through one of 5 possible outcomes/routes:

- **Rejected** - (Outcome cannot be achieved due to capacity, technical, IG or Cyber security or strategic concerns)
- **Business as Usual** - (Outcome can be achieved through normal Informatics BAU processes)
- **Specialist Approval** - (Approval – IG, Data Quality or Technical is required but otherwise outcome is achievable)
- **Analysis** – (Approval for a short piece of analysis to determine the scope of work including possible technical approval)
- **Project Initiation** – (A planned or strategic piece of work, approved for Project Initiation Phase)
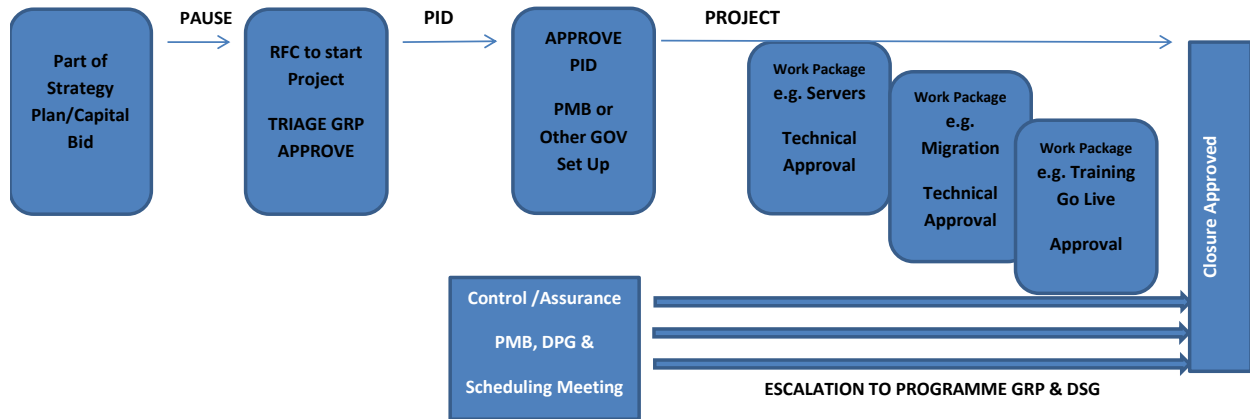
Impact of the Change Approval Process

The diagram below demonstrates the changes from the revised process for a typical Informatics Project

What has happened (Existing Process)
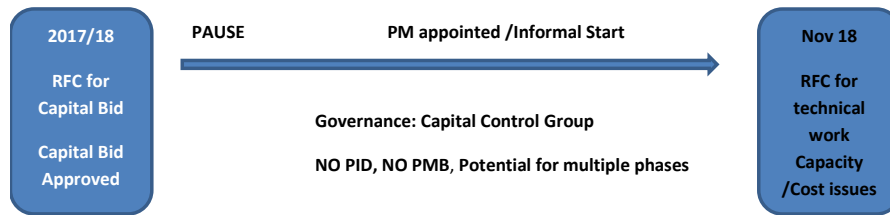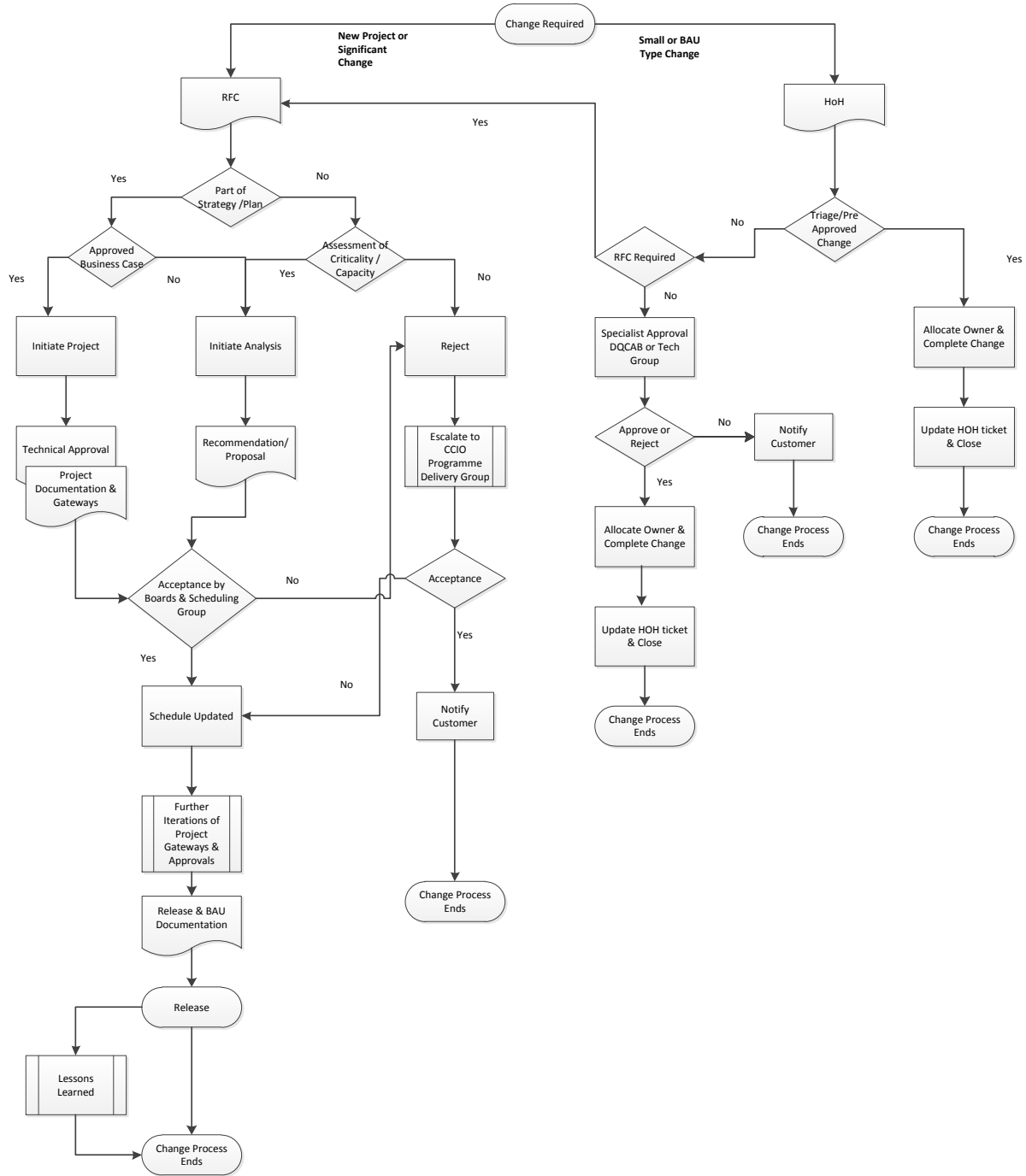

Proposed Process

Additionally it is expected that:

- Initial RFC approval though a CAB Meeting ceases in current format replaced with the virtual triage process outlined blow
- Specialist Approvals will be managed through technical groups
- The outcomes of analysis work and Project Gateway Approvals will be managed through Project and Programme Governance
- Over time there will be fewer direct RFCs replaced by:
  - Customer Change Requests
  - Technical Approval Forms
  - Project Documentation
- Greater Control will be exercised and demonstrated – through Project and Programme Governance
- The new process, system and forms are expected to be developed and managed through the CITO document managed system once implementing in 2019/20
- There will be improved communication with the requester both at receipt of request (through the current electronic process) and once a decision has been made, outlining the decision and rationale for this.

This change framework will be reviewed internally every three months to ensure it remains fit for purpose.

Detailed Process and Approval Stages

A flowchart titled "Detailed Process and Approval Stages" beginning with "Change Required". Two branches follow:

New Project or Significant Change branch:
- RFC → Part of Strategy /Plan?
  - Yes → Approved Business Case?
    - Yes → Initiate Project → Technical Approval → Project Documentation & Gateways → Acceptance by Boards & Scheduling Group
    - No → Initiate Analysis
  - No → Assessment of Criticality / Capacity?
    - Yes → Initiate Analysis → Recommendation/ Proposal → Acceptance by Boards & Scheduling Group
    - No → Reject → Escalate to CCIO Programme Delivery Group → Acceptance?
      - Yes → Notify Customer → Change Process Ends
      - No → Schedule Updated
- Acceptance by Boards & Scheduling Group?
  - No → Acceptance?
  - Yes → Schedule Updated → Further Iterations of Project Gateways & Approvals → Release & BAU Documentation → Release → Lessons Learned → Change Process Ends

Small or BAU Type Change branch:
- HoH → Triage/Pre Approved Change?
  - No → RFC Required?
    - Yes → RFC
    - No → Specialist Approval DQCAB or Tech Group → Approve or Reject?
      - No → Notify Customer → Change Process Ends
      - Yes → Allocate Owner & Complete Change → Update HOH ticket & Close → Change Process Ends
  - Yes → Allocate Owner & Complete Change → Update HOH ticket & Close → Change Process Ends

Initial Triage

A Triage group will assess RFCs on weekly basis (virtually or in a face to face meeting) and the relevant decisions and actions recorded, monitored and tracked.

The initial triage assessment will considers

- Is this part of the Strategic Plan
- Has business case been approved?
- Can this request be accommodated within the Informatics Programme?
- Is it safe to proceed with this change?
- Is there sufficient Technical capacity to deliver the change?

If it unclear to the clinical risk/patient impact the assessment will be escalated to one of the Informatics CCIOs

One of the following Outcomes will be determined

- **Rejected** - (Outcome cannot be achieved due to capacity, technical, IG or Cyber security or strategic concerns)
- **Approved for Business as Usual** - (Outcome can be achieved through normal Informatics BAU processes)
- **Approved for Specialist Approval** - (Approval – IG, Data Quality or Technical is required but otherwise outcome is achievable)
- **Approved for Analysis** – (Approval for a short piece of analysis to determine the scope of work including possible technical approval)
- **Approved for Project Initiation** (A planned or strategic piece of work, approved for Project Initiation Phase)

The Triage group will consist of

- Director of Informatics
- Informatics Programme Manager
- Technical Architect
- Performance and Release Manager
- IG Manager

Analysis

Requests for change that are approved for analysis will form part of the overall Informatics programme of work and typically be assigned to a business analyst for investigation. These will be distinct pieces of work to investigate, assess and recommend next steps (delivered in an agreed timeframe). The analysis will consider:

- High level scope & customer expectations
- Options & recommendation
- Likely resource requirements
- Technical Impact (where possible)
- Risk, Issues, Dependencies

- Strategic fit

The recommendation and outcome of the analysis will be reviewed at the scheduling meeting and escalated appropriately through the project and programme governance.

Project & Programme Planning & Scheduling

Requests for change that are approved for analysis or project initiation will form part of the Informatics Programme of Work. The Informatics Programme manager will maintain an overall Informatics Programme of work, which will be governed and monitored through the Programme Delivery Group and assurance through to Digital Steering Group

All projects are mandated to have a business case. The Business Case approval process sits outside of the Informatics Change Process but approved work within the Informatics Programme may include the creation or contributing towards a Business Case (and approval).

All projects are mandated to follow the Trust project framework (currently located here \\shc-dit\dit\DIT\Transformation\Project frameworks and templates) which includes mandatory Capital Control and IG approvals. Projects will follow a standard project gateway approval process and be governed through the appropriate Project Board or where no board exists through the Informatics Small Project Board.

A regular scheduling meeting will assess the overall Informatics Programme and review and address any scheduling conflicts. Where new work requests require a significant alteration to the published plan the recommendations/impact will be escalated to the Programme Delivery Group for approval. This group will also act as an escalation route where decisions have been challenged by the requester.

The scheduling meeting will consist of:

- Chief Information Officer
- Director of Informatics
- Informatics Programme Manager
- Technical Project Manager

Specialist Approvals

Historically Informatics RFCs have not only been used to initiate project and change but also as a tool to request or record and document 'technical' approvals or changes.

Moving forwards if specialist approval is required for a work package within a project or as a result of a direct request (via an RFC) then a specialist approval form will be used and pushed the relevant specialist approval group. A specialist approval form will be created and used for this purpose

There are two types of specialist approval: **Data Quality & Technical.**

Examples of Data Quality approvals include changes to processes, systems or data fields where there may be an impact on terms of data quality, data recording, reporting and financial reporting.

Examples of Technical approvals include technical impact of system upgrade, server build or migration, new software and hardware request and changes or improvements to security and other core IT infrastructure elements

- Data Quality approvals will be considered by the Data Quality Change Advisory Board
- Technical approvals will be considered by the Informatics Technical Group

Where specialist approvals are required as part of projects the expectation is that the management of approvals will be part of the project gateways and management process.

Release and BAU Transition

Informatics has a release and BAU transition process (currently located here: \\shc-dit\dit\DIT\Performance & Release)

It will be a mandatory requirement of all projects & changes to adhere to this process and ensure appropriate documentation and sign offs have been completed before implementation and project completion (this includes ensuring Lesson Learned evaluation are undertaken).