

Programme Initiation Document

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1. Introduction

1.1 Purpose of this document

The purpose of the Programme Initiation Document is to define the programme, to form the basis for its management and the assessment of overall success. There are two primary uses of this document:

- To ensure that the programme has a sound and agreed basis before asking the Programme Board to make any major commitment to the programme
- To act as a base document against which the Programme Board and Programme Director can assess progress, change management issues, and on-going viability questions

1.2 Related documents

The **programme plan** sets out the projects that make up the HEDIIP programme and show how each project contributes to the overall objectives of the programme. The programme plan will be reviewed monthly by the PMO and tri-annually by the Programme Board and any changes communicated to the Sponsoring Group.

The **programme risk register** is a living document that will list and assess risks to the programme and set out mitigating actions.

Each HEDIIP project will have a **project initiation document**, a **project plan**, a **risk register** and a **communications plan**.

2. Programme definition

2.1 Background to the programme

In June 2011 the Department for Business, Innovation and Skills (BIS) published its higher education White Paper, 'Students at the Heart of the System'. This described the progress the Government is making to: deliver a strong, financially sustainable and high quality HE sector; promote a better student experience; foster social mobility and widen participation; and create a more responsive higher education sector in which funding follows the decisions of learners and successful institutions are free to thrive. The White Paper proposed specific improvements to the higher education data and information landscape as follows:

'We will ask HEFCE, HESA and HEBRG, in collaboration with the Information Standards Board for [Education, Skills and Children's Services] (ISB), to redesign the information landscape for higher education in order to arrive at a new system that:

- *meets the needs of a wider group of users;*
- *reduces the duplication that currently exists; and*
- *results in timelier and more relevant data.*

We expect that the Skills Funding Agency (SFA) will also wish to contribute to this exploratory work to support simplification and alignment across both the higher and further education sectors. We will also work with other government departments that collect data from institutions to secure buy-in to reducing the information collection burden. In turn, they will benefit from better quality, more timely data''

White Paper 'Students at the Heart of the System' Para 6.22

The Regulatory Partnership Group sponsored a feasibility study that called for the establishment of collective oversight of the information landscape to achieve a more efficient and effective form of governance. A second study, overseen by a Steering Group made up of stakeholders from across the information landscape, recommended the creation of the Higher Education Data & Information Improvement Programme to achieve the vision set out in the White Paper.

2.2 Vision

HEDIIP has been established to redesign the information landscape in order to arrive at a new system that reduces the burden on data providers and improves the quality, timeliness and accessibility of data and information about HE.

2.3 Programme objectives

The RPG study¹ that recommended the creation of HEDIIP set out the six key issues faced by the information landscape and the desired outcomes from the programme that address these issues. This analysis of issues and desired objectives has informed the creation and planning of the programme.

Issue	Desired objective
1. A lack of visibility of data collections conducted and data available in the sector	a. Better understanding by institutions of how they can use data for their own benefit
	b. Better understanding by data collectors of data available in order to reduce duplicated collections
2. Poor understanding of the purpose of data collections	a. Clarity for institutions on the purpose and value of data collections
	b. Identification of any non-value added data collections
3. No common data language	a. Comparable, better quality and more accessible data sets
	b. Reduced duplication of data collections through data sharing (facilitated by common data definitions)
4. Weak operational co-ordination between organisations including data sharing	a. Reduced duplication of data collections through more efficient data collection processes and data sharing
	b. Improved timeliness of data
5. Absence of a sector wide strategy on data	a. Sector wide strategies to promote consistency across all organisations
	b. Sector wide understanding of the needs and requirements of data users
6. No mandate or expectations to change behaviours to drive efficiencies	a. Data collectors to seek most efficient method of collecting data to meet their requirements
	b. HE institutions to adopt most efficient and effective methods of data management and governance.

2.4 Critical Success Factors

The Critical Success Factors (CSF) which will underpin the programme are:

CSF1: **Fit with policy**

The extent to which the programme delivers against higher education policy and business needs of the sector at government, organisational and institutional level.

CSF2: **Strategic fit**

The extent to which the programme fits with key underpinnings of government higher education policy, for example the 'digital by default' agenda.

CSF3: **Commitment**

The extent to which leaders of stakeholder organisations own and take shared responsibility for delivering outcomes for the benefit in the interests of the sector, the public and the student.

¹ http://www.hediip.ac.uk/wp-content/uploads/RPG_HEDIIP_proposal_2013-03.pdf

CSF4: Benefits delivery

The extent to which the programme delivers the identified aims and expected benefits.

CSF5: Achievability

The achievability of the programme and its components, including the required level of change, management of associated risks, the need for supporting skills (capacity and capability), realistic deadlines and buy-in and commitment of staff.

CSF6: Affordability

The required level of funding for both the operating and programme costs and the availability of resources to undertake the work.

2.5 Measuring success

A benefits realisation analysis will be undertaken for each HEDIIP project. Benefits profiles will be developed which define for each benefit:

- description of benefit;
- before state;
- when will benefit occur;
- dependencies;
- how will benefit be measured including KPIs; and
- changes required to realise benefits.

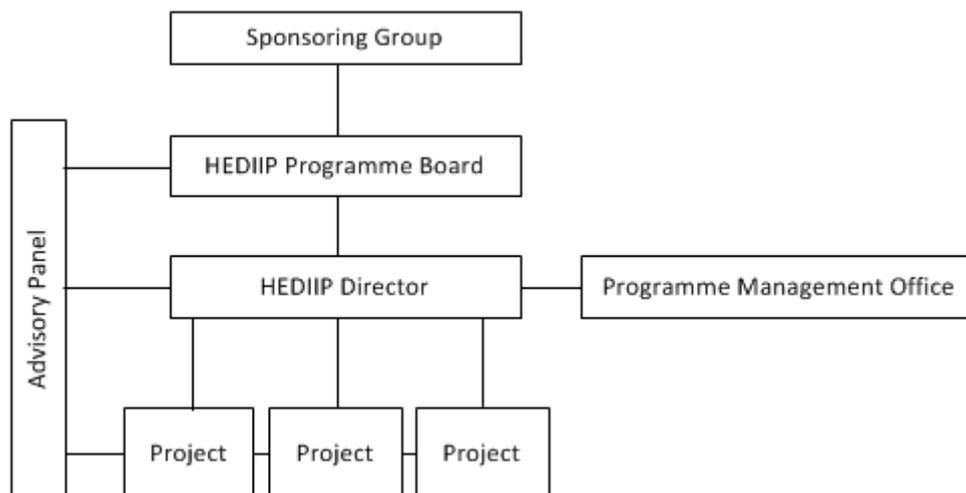
2.6 Assumptions and constraints

The underpinning assumptions and constraints of the programme are:

- the assumption that the political mandate to take forward this programme of work is secure;
- the assumption that within the intention to converge towards common and co-ordinated practice the programme will not progress at the pace of the slowest;
- the constraints associated with delivering a complex programme that engages stakeholder organisation that have individual sovereignty and operate across multiple jurisdictions; and
- the constraints associated with a policy environment that is defined by multiple government departments and administrations

3. Programme structure and governance

The HEDIIP programme structure is based on the model defined in the Managing Successful Programmes methodology published by the Cabinet Office.



3.1 Hosting the programme

As a programme, HEDIIP does not have a legal status or identity of its own. The study that defined the HEDIIP programme recommended to RPG that HEDIIP should be hosted by HESA. The implications of this are:

- The HEDIIP Programme Director and office staff will be employees of HESA, reporting to the HESA Chief Executive
- The funding for HEDIIP will be to HESA.
- HEDIIP projects will be commissioned through HESA.
- The HESA Board need to have an oversight of HEDIIP activity to allow for accountability.

The relationship between the HEDIIP Programme Board and HESA is defined in a Memorandum of Understanding which includes the specification of the service that HESA will provide to HEDIIP and the reporting responsibilities from HEDIIP to the HESA Board.

HEDIIP is funded by the 4 UK HE funding bodies: HEFCE, HEFCW, SFC and DEL(NI). Funding from HEFCW and DEL(NI) is paid via HEFCE.

The grant letters and the MoU together form a coherent framework of accountability and governance that recognises HESAs role as host organisation as being distinct to the role it has as one-of-many stakeholders in the HEDIIP programme. This framework also allows for the work of HEDIIP to be carried forward under a different host organisation should the HEDIIP programme conflict with HESAs charitable objects or expose HESA to risks that could not be covered.

3.2 Sponsoring group

The Regulatory Partnership Group is the sponsoring group for the HEDIIP programme. It will challenge and agree proposals for projects as defined by the Programme Board.

3.3 Programme Board

The Programme Board is the key decision making body for the programme; it exists to provide oversight, challenge and support and to champion the work of the Programme. It includes representatives from the major stakeholder communities and has an independent Chair.

The members of the Programme Board are appointed from the following communities:

Funders and Regulators

- Higher Education Funding Council for England
- Higher Education Funding Council for Wales
- Scottish Funding Council
- Health Education England
- Research Councils UK

HE providers and their students

- UUK institutions
- Guild HE institutions
- AoC institutions
- Universities UK/GuildHE
- National Union of Students

Large-scale HE data processors

- Higher Education Statistics Agency
- Student Loans Company
- Universities and Colleges Admissions Service

The current membership of the Programme Board will be published on the HEDIIP web site.

The terms of reference for the Programme Board are set out below.

The Higher Education Data & Information Improvement Programme Board will:

1. propose and negotiate with the Sponsoring Group the vision, the strategic agenda and a coherent portfolio of work;
2. support the Programme Director to deliver the programme;
3. identify opportunities, benefits, risks and dependencies for the programme;
4. provide oversight and monitoring of the programme against objectives;
5. report to the HESA Board who are accountable to HEFCE in respect of HEDIIP funding and have statutory responsibilities with regard to the governance of HESA;
6. embed the concept of sustainability in the projects taken forward by the programme;
7. review the programme structure and governance arrangements on an agreed schedule;
8. oversee and actively contribute to stakeholder engagement;
9. promote a collaborative culture that will bring helpful pressure on stakeholders as difficulties arise;
10. act as ambassadors for the project and champion the work of the programme amongst their respective communities.

The Programme Board will meet three times per year and the meetings will be scheduled to report into RPG meetings and HESA Board meetings, as far as is practicably possible.

3.4 Programme Director

The Programme Director will take the role of senior responsible owner (SRO). This is the single individual with overall responsibility for ensuring that the programme meets its objectives and delivers the projected benefits.

The Programme Director will report to the Programme Board and be supported by the Programme Management Office. This role will be responsible for:

- managing the portfolio of projects;
- coordinating project strands and identifying synergies and overlaps;
- identifying overlaps with other sector projects in this area;
- managing benefits realisation, communications and reporting; and
- developing business cases to support the commissioning or tendering of projects.

3.5 Programme Management Office (PMO)

The PMO is the function providing the information hub and standards custodian for the programme and its delivery objectives.

The PMO will support the Programme Director. It will provide support for the wider programme as well as the individual programmes and projects.

Responsibilities include supporting the Programme Director to:

- develop business cases to support the commissioning or tendering of projects;
- manage the portfolio of projects;
- co-ordinate project strands and identify synergies and overlaps;
- identify overlaps with other sector projects in this area;
- manage benefits realisation, communications and reporting;
- be a visible point of contact and locus of expertise for HE providers and other stakeholders; and
- prepare agendas and papers for programme board meetings.

3.6 Advisory panel

An Advisory Panel of experts from a wide range of stakeholder organisations will provide technical and logistical oversight and advice. The Advisory Panel will:

- Advise the HEDIIP Programme Board on technical and logistical issues
- Contribute to the specification of individual projects, including scope, sustainability and outcomes
- Act as a steering and oversight group for the portfolio of HEDIIP projects
- Contribute members to the governance structures of individual HEDIIP projects
- Support Project Managers to deliver their projects
- Act as ambassadors for the work of HEDIIP
- Provide intelligence on issues and perceptions from across the landscape

The Chair of the Advisory Panel will attend Programme Board meetings.

The Advisory Panel will include representatives from the following organisations and communities:

HE funders and regulators

- Higher Education Funding Council for England
- Higher Education Funding Council for Wales
- Scottish Funding Council
- Health Education England
- Research Councils UK

Large-scale HE data processors

- Higher Education Statistics Agency
- Student Loans Company
- Universities and Colleges Admissions Service

Communities within the HE sector

- Academic Registrars Council
- Student Records Officers Conference
- Universities and Colleges Information Systems Association
- Higher Education Strategic Planners Association
- Association of Research Managers and Administrators
- Association of University Directors of Estates
- British Universities Finance Directors Group
- Universities HR
- Jisc
- National Union of Students
- Universities UK
- Guild HE
- Association of Colleges

Other stakeholders

- QAA
- PSRBs
- FE Information Authority
- Learning records service

The current membership of the Advisory Panel will be published on the HEDIIP web site.

The Advisory Panel will conduct its business through physical meetings and via on-line discussion as appropriate.

3.7 Project Managers/individual projects

Each project will require its own project management and governance arrangements which should involve relevant stakeholders depending on the nature of the project. Each project will have a project manager who will be responsible for the set-up, management and delivery of the project.

4. Stakeholder engagement

4.1 Background

The study which recommended the creation of HEDIIP observed that *authority to deliver the work should derive from the support and consensus of the stakeholders*; this places stakeholder engagement in a critical position in the work of HEDIIP.

Each HEDIIP project will need to consider the stakeholder engagement issues that are relevant to that particular piece of work, including the key messages, channels and fora.

4.2 Engagement strategy

The objectives of HEDIIP stakeholder engagement are:

Increasing understanding

- Increase stakeholders understanding the information landscape from the perspective of others
- Ensuring HEDIIP understands the problems and opportunities that exist across the information landscape

Creating a vision

- Helping HEDIIP define a vision that reflects the needs of all stakeholders
- Helping stakeholders understand and commit to that vision

Achieving that vision

- Ensuring that the HEDIIP projects clearly define and communicate their contribution to that vision
- Helping stakeholders contribute to the achievement of that vision through the adoption and embedding of project outcomes.

The approach to stakeholder engagement will be:

- Utilising the variety of channels, communities and events that already exist across the landscape;
- Getting the maximum value from the web site and relevant social media channels;
- Engaging widely with the aim of maximising consensus and understanding around key issues;
- Using a strong and distinctive visual identity to raise awareness of the programme.

4.3 Engagement plan

Who?

Programme Board members who will act as champions for HEDIIP amongst their respective communities

Advisory Panel members who will act as ambassadors for HEDIIP

The Programme Director who will act as a focal point for engagement activities

The PMO staff who will work with stakeholders across the landscape on a day-to-day basis

What?

The key messages in HEDIIP engagement will be:

- The extent to which changes across the information landscape present an opportunity for improvements in data and information
- The extent to which this opportunity is amplified by the political/policy profile currently attached to improving data and information

- The fact that real progress can only be achieved with
 - Senior-level buy-in
 - Cooperation and collaboration
 - Collective decisions based on well-informed debate
 - A better understanding of the challenges and opportunities that currently exist across the landscape

How?

Newsletter
 Website
 Twitter and email
 Through projects
 Conferences, meetings etc

When?

Bi-monthly
 Continual as necessary
 Continual as necessary
 As and when
 As and when

By whom?

PMO (with input from projects)
 PMO (with input from projects)
 PMO and projects
 PMO and projects
 PMO, projects, Board members

4.4 Stakeholder analysis

HE providers	Approximately 1300 HE providers, including 162 publicly-funded HE institutions, over 500 publicly-funded FE colleges and 674 privately-funded HE providers
Government departments and bodies	Bodies whose work includes including funding, regulation and policy
Professional, Statutory and Regulatory Bodies (PSRBs)	Bodies offering accreditation (“any process of approval leading to assurance that a programme meets the standards required by a particular profession”) for courses that fall within the scope of the KIS.
HE professional groups	Organisations of various types that represent professional groups within the HE sector
Sector bodies	Including representative bodies, shared services and specialist bodies
Commercial and suppliers	Includes suppliers of systems to HE providers and commercial users of HE data and information