

Council, 26 March 2014

Operations Work Plan 2014-2015

Executive summary and recommendations

Introduction

The Operations Work Plan for the period 1 April 2014 to 31 March 2015 is attached.

Decision

The Council is requested to discuss the document.

Background information

None

Resource implications

The resourcing of the Department is set out in the attached workplan.

Financial implications

The financial implications of the planned work are accounted for in Operations budget for 2014-2015.

Appendices

Operations Work Plan 2014-2015

Date of paper

17 March 2014

Operations Directorate

2014 – 2015 work plan

1. Operations	3
2. Resources within Operations	3
3. Registration Department.....	5
4. Resources within the Registration Department.....	6
5. Registration priorities 2014 – 2015	7
6. Registration main operational activities	7
7. Registration supporting activities	8
8. Registration objectives in 2014 – 2015	10
9. Risks managed by the Registration Department.....	13
10. Equality & Diversity within Registration.....	14
11. Registration activities in 2015 – 2016.....	14
12. Registration activities in 2013 - 2014.....	15
13. Project Management Department.....	18

14.	Equality & Diversity Scheme and projects	18
15.	Human resources within the Project Management Department	18
16.	Project Management role descriptions	18
17.	Financial resources for major projects.....	19
18.	Project management activities in 2013 - 14.....	19
19.	Project management activities in 2014 – 15.....	21
20.	Major projects to initiate in 2014-15.....	22
21.	Project Management supporting activities	23
22.	Provisional portfolio timeline.....	24
23.	Risks managed by the Project Management Department	24
12.	Facilities management.....	25
13.	Human resources within Facilities Management Department.....	25
14.	Financial resources for Facilities Management activities.....	25
15.	Facilities Management activities in 2014 – 15	25
16.	Facilities Management activities in 2013 - 14	26
12.	Business Process Improvement	28
13.	Human resources within Business Process Improvement.....	28
14.	Business Process Improvement activities in 2014-15.....	28
15.	Financial resources for Business Process Improvement.....	30
16.	Certification within Business Process Improvement	31
17.	Business Process Improvement activities in 2013 - 14.....	31

1. Operations

- 1.1. This document sets out the priorities, resources and responsibilities of the Operations Directorate for the financial year 2014 – 2015 and provides a basis against which the work of departments within Operations can be planned and measured.
- 1.2. The Operations Directorate is both proactive and reactive in its work so the priorities laid out in this document may change. The directorate continues to remain flexible in the delivery of its workplan. This document will be kept under review.
- 1.3. The four departments within Operations are Registration, Business Process Improvement, Project Management and Facilities.
- 1.4. The **Registration** Department is responsible for maintaining HCPC's Register of health and care professionals.
- 1.5. The **Project Management** department is responsible for managing the major projects undertaken within the organisation on behalf of the Executive Management Team (EMT).
- 1.6. The **Facilities Management** department is responsible for managing the facilities, building refurbishments and Health & Safety for properties owned or leased by HCPC.
- 1.7. The **Business Process Improvement** department maintains develops, and promotes the Quality Management System, information security, risk and information analysis, business continuity and process improvement. BPI is also response for ad-hoc business reporting and data extraction from business datasets.

2. Resources within Operations

- 2.1. The Operations management team consists of five employees
 - Greg Ross-Sampson Director of Operations
 - Claire Reed Project Portfolio
 - Richard Houghton Head of Registration
 - Roy Dunn Head of Business Process Improvement
 - Steve Hall Facilities Manager

2.2. A new post of Business Analyst will be created in 2014 – 15. The Business Analyst will be responsible for

- identifying trends, identify issues and provide insights in HCPC regulatory activities by analysing and interpreting HCPC's datasets.,
- analysing and advising on the structure, policies and operations of the organisation and recommend, or where appropriate implement solutions
- influencing change in processes and working methods across the organisation based on the results of statistical analysis

3. Registration Department

- 3.1. Providing a high level of customer service is crucial to the long term success of the Health and Care Professions Council (HCPC) and demonstrates our commitment to all of our stakeholders - registrants, members of the public, our employees, our suppliers and the members of our Council and Committees. As the standard of customer service increases in other service sectors such as financial services, telecommunications, local government, retail and leisure so does the service quality expectations of their customers. Similarly, HCPC's 'customers' will continue to have higher expectations of their own customer service experience which includes having a wider range of service delivery options and more choice of how they interact with us. Coupled with this increased expectation of service delivery is an increase in registrant number growth. Registrant numbers have increased steadily over recent years and a 41% increase during 2012 – 2013, as a result of the transfer of regulation of social workers, which has increased the demand for these services.
- 3.2. It is clear that we need to continue to develop our customer service delivery strategy that is based on the present and future needs and expectations of stakeholders. It is also important to maintain the positive, pride of workmanship, feeling of community, enjoyable and fun working environment that exists at HCPC as customer satisfaction generally moves in the same direction as employee satisfaction.
- 3.3. As in previous years the Registration work plan has been completed with the following principles in mind:
 - employing the best people in a good working environment and supporting them with ongoing training, reliable equipment and up-to-date systems;
 - recognising individuals and teams by promoting from within wherever possible;
 - encouraging everyone to enjoy rewarding careers; and
 - providing job satisfaction.
- 3.4. The continued investment in technology to reflect business rules and processes will speed up processing, improve job satisfaction and offer our customers more service delivery channels.
- 3.5. It is important to remember that it is the continuation of a journey in Registration.

3.6. The Registration Department's main responsibilities are:

- processing application forms from individuals who have undertaken an approved course in the UK;
- processing applications for readmission to the Register;
- processing registrants registration renewal forms;
- processing international / EEA / temporary application forms;
- processing grandparenting application forms;
- processing incoming general correspondence including letters, requests for de-registration, change of addresses;
- co-ordinating continuing professional development (CPD) profile assessment days;
- replying to emails; and
- answering incoming telephone calls.

3.7. This work plan attempts to show how the standard operational work and the planned projects have been scheduled to ensure successful completion, given the resources and time table. The Registration Department is both proactive and reactive in its work so the requirements may change. The department will therefore need to be flexible in the delivery of its work plan in order to respond accordingly. This document will be kept under review.

4. Resources within the Registration Department

4.1. This work plan is based on a budget of £2,810,120 which allows for a team of 58 registration employees. Registration Department resource requirements outlined in this document are based on the registrant statistics included in the 'Registration Numbers Forecast to 2013 - 2018', which were presented to the Finance and Resources Committee on the 10 September 2013.

4.2. The Registration Department organisational structure for 2014 - 2015 consists of

- 1 Head of Registration;
- 5 Registration Managers;
- 1 Registration Operations Manager;

- 1 Registration Operational Planner;
 - 1 Registration Quality Assurance Manager;
 - 6 Team Leaders;
 - 1 Registration Trainer;
 - 2 Registration Co-ordinators;
 - 1 Registration Administrator; and
 - 39 Registration Advisors including 2 Apprentices.
- 4.3. There are four new roles planned for 2014 – 2015 – the Registration Operations Manager, Registration Operational Planner, Registration Quality Assurance Manager and Registration Administrator. The department structure currently consists of 5 service teams. An additional operations support team will be created in 2014 – 2015 reporting to the new role of Registrations Operations Manager. The operations support team will provide improved planning and resource forecasting, expand on the existing department training processes and manage the processes and relationship with our printing / mailing provider.
- 4.4. The service teams will continue to provide front line customer service for the UK, international, CPD, grandparenting and renewal processes. There continues to be significant investment in cross training of Registration Advisors and this continues to allow the department to respond rapidly and effectively to the significant increases in demand that is received.
- 4.5. Recruiting and retaining employees, in order to work effectively and proactively, continues to be a big challenge for the department and is likely to remain a risk for this financial year.

5. Registration priorities 2014 – 2015

- 5.1. The main priority for the department is the day-to-day operation of the registration processes. The department will also be involved in a number of projects at both an operational and strategic level.

6. Registration main operational activities

- 6.1. There are 11 main processes which generate the majority of the department's workload and the volumes for each process vary throughout the year with significant peaks and troughs in demand for any individual process.

The department continues to ensure it delivers the best possible service to registrants, applicants and the public by cross training all Registration Advisors to deliver all registration processes efficiently and effectively within our service standards.

	Process	Service standards 2014 – 2015
1.	UK applications	Ten working days processing
2.	Readmissions	Ten working days processing
3.	International / EEA applications	Processed within 65 working days of receipt of all documents
4.	Grandparenting applications	Processed within 65 working days of receipt of all documents
5.	Continuing Professional Development (CPD) audits for the following professions in 2014 / 2015: <ul style="list-style-type: none"> • physiotherapists; • arts therapists; • dietitians; • hearing aid dispensers; • chiropodists / podiatrists; • social workers in England; • operating department practitioners. 	Processed within 65 working days of receipt of all documents
6.	Renewal batch letters sent on time for the following professions in 2014 / 2015: <ul style="list-style-type: none"> • physiotherapists; • arts therapists; • dietitians; • hearing aid dispensers; • chiropodists / podiatrists; • social workers in England; • operating department practitioners. 	Renewal notices sent on publicly published renewal dates
7.	Renewal cycle batch processing	Complete renewal (removal) process run within five working days of publicly published dates
8.	Written complaints	15 working days response
9.	Emails	Two working days response
10.	Telephone call answering	80% of calls answered within 30 seconds
11.	Process equality and diversity data for new applicants to the Register	Ten working days processing

7. Registration supporting activities

- 7.1. There are five activities which support the main Registration Department processes. Whilst these activities provide a solid and desirable foundation onto which to operate our main processes, at certain times of the year some of them do not take priority and some activities, if resources are stretched,

may need to be revisited. The following paragraphs summarise these activities.

- 7.2. **Partner assessor recruitment, selection and training** : In 2014 – 2015 the department will work with the Partners Department to ensure Registration Assessor numbers are maintained and appropriate for the planned operational processes. This will include the selection, recruitment and training of new Registration Assessors to fill identified gaps. In particular, this will involve recruiting and training 18 social worker CPD Assessors in preparation for the first CPD audit of the social worker profession since the transfer of regulation to HCPC.
- 7.3. There will also be refresher training for the remaining 45 Registration Assessors who were unable to attend the training in 2013 – 2014. These sessions will include training on the Health and Social Work Professions Order (HSWPO) and operational processes.
- 7.4. Registration will also continue to assist the Partners Department with the delivery of the Registration Assessor performance appraisal system.
- 7.5. **Information systems (database and electronic records)** : In 2014 – 2015, the department will work with the IT Department to both enhance and revise the registration IT systems. It is the current intention to implement the following changes to the registration IT systems this financial year:
- Image and character recognition software (DocXP) enhancements – Enhancements to the DocXP image and character recognition software to enable HCPC to improve the operation and usability of the system;
 - Temporary registration database – Enhance the database to accurately reflect the business process and improve usability;
 - Online portal for CPD audit profile assessment - Identify, design and pilot an online database to facilitate the assessment of CPD profiles electronically.
- 7.6. **Liaison with stakeholders**: In 2014 – 2015, the department will continue to work with stakeholders (general public, professional bodies, and registrants) in the broad area of registration. The department will endeavour to support the Communications Department with representation at conferences, employer events and various presentations which also provides valuable experience for registration employees and the department as a whole.

- 7.7. **Committee and Council work :** In 2014 – 2015, the department will continue to work with the Education and Training Committee and Council. Registration will ensure that they are kept up-to-date with operational performance and changes to existing processes and the introduction of new processes.
- 7.8. **Publications:** The department is responsible for producing a number of publications, including the Continuing Professional Development (CPD) audit report, registration certificate, renewal form and the UK, international, grandparenting, readmission application forms and guidance notes. These documents are updated and reviewed regularly.

8. Registration objectives in 2014 – 2015

A number of objectives have identified that will require action and completion in 2014 – 2015.

- 8.1. **Registration Objective – Improve quality of service:** Customer service is an important aspect of any organisation. The Registration Department will continue to build upon the foundations already in place and improve the service Registration deliver by ensuring that we:

- 1) conduct, deliver and review the quality checks programme providing Registration Advisors with individual feedback in regular 1 to 1 meetings and enabling the department to identify any recurring process failures;
- 2) conduct, deliver and review the call monitoring process to deliver individual feedback to Registration Advisors; and
- 3) continue to facilitate a customer research programme to:
 - gain an in-depth insight into the overall customer service experience from a registrant viewpoint;
 - gain qualitative feedback on call handling quality;
 - have a clear basis for making decisions about future service developments; and
 - deliver improvements identified.

- 8.2. **Registration Objective – Effective capacity planning :** To ensure that Registration effectively plan the use of our resources, capacity planning will continue to developed to accurately forecast workload.

- 8.3. **Registration Objective – Continue to improve application verification checks** : It is incumbent upon Registration to ensure the integrity of the Register, including improving how fraudulent or erroneous entry to the Register are prevented. Some processes are already in place for checking qualifications, identity and professional standing.
- 8.4. Registration will aim to continue to improve our verification process by:
- 1) undertaking further work to investigate the possibility of requesting all applicants from overseas, apart from those seeking to exercise mutual recognition rights under the EC Professional Qualification Directive, to attend HCPC's offices with original identity and qualification documents and reduce the risk of exposure to identity theft and fraud; and
 - 2) enhancing our verification database by continuing to store examples of valid worldwide competent authority contact details, education institution details and verification documentation.
- 8.5. **Registration Objective – Employee development** : Our employee development policy aims to ensure that right people are in the right role and investment is made in their recruitment, training and development by:
- 1) arranging for all registration employees to gain an accredited customer service qualification;
 - 2) developing customer service training to improve skills to deal with more challenging situations;
 - 3) developing and delivering the long term training plan;
 - 4) continuing to review and develop the online learning management system which enables the Registration Department to deliver its training online; and
 - 5) continuing to cross train all Registration employees.
- 8.6. **Registration Objective – Develop external relationships with suppliers** : The Registration Department is reliant on a number of key suppliers in order to deliver and improve the service that it delivers. The department needs to continue to develop good working partnerships with these suppliers to ensure a seamless and improved service is delivered in a cost effective manner. The department needs to ensure:
- 1) our current printer prints all registration renewal forms, registration application forms, some publication material, letters and registrant certificates effectively and efficiently;

- 2) the Registration Department has the appropriate technical maintenance support for the telephony system and provide recommendations on how existing technology can be utilised more effectively;
- 3) our office services supplier scans and copies all registration renewal and application forms effectively and efficiently; and
- 4) NHS Protect perform a robust fraud measurement exercise.

8.7. **Registration Objective - Manage projects within agreed timescales** : The following part of the document provides a summary of the projects that are planned or anticipated to be undertaken in the financial year 2014 - 2015. The project delivery timescales are driven by resource constraints (both internal and external), legislative deadlines, business need and government decisions. The Registration Department is heavily impacted by these factors and its work priority may change. This may impact the planned project work outlined in this document.

8.8. The Registration Department will contribute to the following projects over the coming financial year:

- 1) NetRegulate changes – A yearly project to implement small to medium sized developmental changes into the NetRegulate system;
- 2) Professional indemnity – Meeting statutory requirements, amendments to operational practices to ensure registrants have suitable professional indemnity insurance in place;
- 3) Registration system and process review – A review of the Registration Department processes and systems, identifying requirements for replacement processes and systems and identifying third party suppliers;
- 4) Online renewals review and change of payment provider – Making improvements to the Online Portal and changing our payment provider;
- 5) HR and Partners systems review phase 1 – A review of the HR and Partner Departments processes and system, identifying requirements for replacement processes and systems and identifying third party suppliers;
- 6) Fees Review - Undertaking a review of registrant fees and potentially entering into consultation with registrants. Subsequently communicating any changes to registrants and making necessary technology changes;
- 7) Stakeholder contact management system - The development and build of a stakeholder contact management system to enable effective communication with external HCPC stakeholders;

- 8) Sage and Purchase Requisition System (PRS) upgrade - An upgrade to the latest version of Sage and to an updated purchase order system;
- 9) Domino to Exchange migration - To replace the Lotus Notes mail, contacts and calendar services with Microsoft Exchange/Outlook;
- 10) Direct debit review - A review of the processes of collecting HCPC registration income;
- 11) Finance Systems Review Phase 1 – Undertaking a review of some of the Finance Departments systems, identifying requirements for replacement systems and identifying third party suppliers;
- 12) InFocus Distribution – Developing an improved managed list of HCPC InFocus subscribers providing greater flexibility and communication options; and
- 13) HR and Partners systems build phase – Depending on the outcomes of HR and Partner systems and processes review phase 1, building and deploying new system(s) for the HR and Partners Departments.

9. Risks managed by the Registration Department

9.1. The Registration Department manages those organisation risks that are primarily concerned with:

- customer service failures;
- inability to detect fraudulent applications;
- backlog of registration applications;
- mistakes in the registration process leading to liability for compensation to the registrant or applicant; and
- CPD processes not effective.

9.2.

HCPC Risk Register no.	Activity	Lead
2.3, 1.5, 10.1, 10.4	Manage the Registration Department's main operational processes within service standards	RH,CH,AL,CF,J W, DA

6.1	Partner assessor recruitment, selection and training	CF,AL,JW
10.1	Information systems enhancements and revisions	RH,CH,AL,CF,JW,DA
3.2	Liaison with stakeholders	RH,CH,AL,CF,JW,DA
4.1	Committee and Council work	RH,CH,AL,CF,JW,DA
10.5, 1.5	Improve Registration Department publications	RH,CH,AL,CF,JW,DA

RH - Richard Houghton, Head of Registration

CH - Claire Harkin, Registration Manager

AL – Anna Lubasinska, Registration Manager

CF – Christopher French, Registration Manager

JW – James Wilson, Registration Manager

DA – Dushyan Ashton, Registration Manager

9.3. Activities outlined in this work plan also help mitigate organisation risks managed by other departments.

10. Equality & Diversity within Registration

10.1. As part of the HCPC equality and diversity scheme the Registration Department will continue to scrutinise and screen all processes and work to identify and, where possible, mitigate any adverse impact to some groups, compared to others.

11. Registration activities in 2015 – 2016

11.1. 2014 – 2015 will be a year in which the Registration Department continue to undertake our established activities and improve our processes and service

delivery. Taking on new professions that are anticipated up to 2016 such as herbal practitioners will have a significant impact on the workload of the Registration Department.

- 11.2. The Registration Department will continue with the Registration system and process review to implement long term strategic changes and develop a system replacement.
- 11.3. Although currently unknown the government may require HCPC to regulate additional groups.

12. Registration activities in 2013 - 2014

- 12.1. It would be useful to review the activities contained in the work plan which was submitted one year ago as part of the background which has formed the basis of this new work plan. Six objectives were set and the progress of each is detailed below:
- 12.2. **Registration Objective – Improve quality of service** : This objective was met. A quality checks programme was in operation with call monitoring, application entry and renewal processing checks undertaken and feedback given to Registration Advisors. A Registration Department satisfaction survey was conducted which provided an in depth insight into the overall service experience from a registrant viewpoint. The survey feedback identified initiatives to improve the online renewal system, call handling consistency and the guidance notes that accompany registration application forms.
- 12.3. **Registration Objective – Effective capacity planning** : This objective was met. Specialist contact centre planning training has enabled the development of the capacity planning process. This has enabled the Registration Department to deliver improved performance over the past twelve months and effectively plan for the extra workload which resulted from the transfer of the regulation of social workers.
- 12.4. **Registration Objective – Continue to improve application verification checks** : This objective was met. Over the last year Registration have continued to focus on verifying the identity, qualifications and registration of international applicants. Some activities are outlined below:
 - 1. The possibility of requesting all applicants from overseas to attend HCPC's offices with original identity and qualification documents has been investigated with meetings attended at other UK health regulators to understand their processes in this area. The team have also arranged meetings with electronic identity document verification specialists. Further

work will be undertaken during the forthcoming year to devise and implement improved processes in this area;

2. The Registration Department has continued to populate the verification database by continuing to store examples of valid worldwide competent authority contact details, educational institutions and verification documentation;

3. NHS Protect have reintroduced the opportunity for HCPC to use their services to conduct a fraud measurement exercise. NHS Protect are currently conducting a fraud measurement exercise with the possibility of further exercises throughout 2014 – 2015.

12.5. **Registration Objective – Employee development** : This objective was met. All new registration employees have had the opportunity to gain an accredited customer service qualification. There is a long term training plan in place to ensure that cross training of all registration employees continues. An online learning management system is now available. There were also a number of internal promotions within the department during the year.

12.6. **Registration Objective – Develop external relationships with suppliers:** This objective was met. The department has developed close partnerships with its key suppliers.

12.7. **Registration Objective – Manage projects within agreed timescales** : The progress the department made against each of the planned projects in 2013 – 2014 is detailed below:

- 1) Annotation of the Register – This project was delivered;
- 2) NetRegulate changes – This project will be completed in April 2014;
- 3) HR and Partners systems and process review phase 1 - This project is ongoing;
- 4) Professional indemnity – This project will be completed in April 2014;
- 5) Registration system and process review phase 1 – This project did not initiate due to resource availability;
- 6) Finance systems review phase 1 – This project did not initiate due to resource availability;
- 7) Online renewals review and change of payment provider – This project is currently initiating;

- 8) InFocus Distribution – This project did not initiate due to resource availability;
- 9) HR and Partners systems build phase – This phase of the project is dependent on the process review phase which is now due to be completed in October 2014; and
- 10) Fees review – This project will be completed in May 2014.

13. Project Management Department

- 13.1. The department manages the major projects undertaken within the organisation on behalf of the EMT.
- 13.2. The decision as to which projects should be initiated in this financial year and their priority to the organisation was made by the EMT in November 2013.
- 13.3. Should additional projects arise during the financial year, they will be processed through the prioritisation process by the EMT and if approved will be included in the delivery programme for the year. This may be at the expense of projects currently approved for initiation.

14. Equality & Diversity Scheme and projects

- 14.1. An equality and diversity assessment of each major project is undertaken as part of the initiation process

15. Human resources within the Project Management Department

- 15.1. The Project Management Department consists of four employees and will be expanded to four and half in 2014-15:

Claire Reed	Project Portfolio Manager
Martha Chillingworth	Senior Project Manager
Paul Nevin	Project Manager
Robyn Schnuir	Project Manager
TBD	Half (part) time Administrative support

16. Project Management role descriptions

16.1. Project Portfolio Manager

Overall accountability for the Project Management function at HCPC. The position is responsible for:

- The delivery of the major projects undertaken with the organisation
- The management of the project portfolio to ensure there are adequate resources within the organisation and that all dependencies between projects are understood and managed

- Reporting to EMT and Council on the status of the portfolio

16.2. Senior Project Manager

Responsible for the delivery of the most complex projects / small programmes within the portfolio

16.3. Project Manager

Responsible for the delivery of the major projects within the portfolio

16.4. Administrative support

A role shared with IT providing administrative support to the projects e.g. invoice processing, meeting administration.

16.5. The salaries for these positions are held within the Operations budget.

17. Financial resources for major projects

17.1. This work plan assumes an operating budget of £638,320 and a capital budget of £2,683,400, totalling £3,321,720.

17.2. The figures are based on a combination of firm budgets set for projects that are currently initiated and start up budgets that have been estimated by conducting basic research with third party suppliers and by drawing from data from previous projects.

18. Project management activities in 2013 - 14

	Project Name	Status	Comments
	Existing projects		
1	Annotation of the Register	Complete	
2	Web Deployments	Complete	
3	NetRegulate Changes	To complete in April 2014	
4	HR & Partners Systems and Process Review Phase 1	Ongoing	

	Project Name	Status	Comments
5	Herbal Medicine & Traditional Chinese Medicine regulation (HM and TCM)	Did not initiate	This project has not initiated due to delays in implementation of legislation
6	Education Systems Build	Ongoing	
7	FTP Changes 2013-14	Did not initiate	This project has not initiated to allow the supplier to concentrate on other aspects of the system
	New projects		
8	186 Kennington Park Road redevelopment (Whitefield House Rebuilding Project Phase 1)	Ongoing	
9	Professional Indemnity	To complete in April 2014	
10	HR & Partners Systems Build	Did not initiate	This project will initiate once the HR and Partners systems and process review has completed. This previous project has taken longer than projected in order for HCPC to comply with the EU OJEU tender process
12	InFocus Distribution	Did not initiate	Did not initiate due to resource availability
13	Registrations Systems and Process Review Phase 1	Did not initiate	Did not initiate due to resource availability
14	Web Platform Review Phase 1	Did not initiate	Did not initiate due to resource availability
15	Online Renewals Review & Change of Payment Provider	Currently initiating	
16	Fees Review	Due to complete in	

	Project Name	Status	Comments
		May 2014	
17	Finance Systems Review Phase 1	Did not initiate	Did not initiate due to resource availability

19. Project management activities in 2014 – 15

19.1. Ongoing major projects

The following major projects will continue into financial year 2014-15.

	Project name	Project Description	Projected completion date	Project budget	2014-15 budget
1	HR and Partners systems and process review	A review of the HR and Partner Departments processes and system, identifying requirements for replacement processes and systems and identifying third party suppliers	October 2014	£124,105	£18,390
2	Education system build	Building and deploying a new system for the Education department	April 2015	£1,266,511	£725,473
3	186 Kennington Park Road redevelopment	Developing plans for 186 Kennington Park Road and identifying a third party supplier	May 2015	£874,314	£476,968
4	Net Regulate Changes	A yearly project to implement small to medium sized developmental changes into the Net Regulate system	April 2014	£167,100	£3,660
5	Fees Review	Undertaking a review of registrant fees and potentially entering into consultation with registrants. Subsequently communicating any changes to registrants	May 2014	£7,230	£500

	Project name	Project Description	Projected completion date	Project budget	2014-15 budget
		and making necessary technology changes			
6	Professional Indemnity	Meeting statutory requirements, amendments to operational practices to ensure registrants have suitable professional indemnity insurance in place	April 2014	£29,550	£10,989

20. Major projects to initiate in 2014-15

20.1. The following projects have been approved for initiation in 2014-15 dependent on resources being available within the organisation.

	Project name	Project Description	Project budget	2014-15 budget
1	Registrations systems and process review	A review of the Registration Department processes and systems, identifying requirements for replacement processes and systems and identifying third party suppliers	£658,625	£658,625
2	HR and Partners system build	Building and deploying a new system/s for the HR and Partners department	£810,458	£810,458
3	Stakeholder contact management system	The development and build of a stakeholder contact management system to enable effective communication with external HCPC stakeholders	£95,751	£68,177
4	SAGE & PRS upgrade	An upgrade to the latest version of SAGE and to an updated purchase order system	£68,177	£49,105
5	Domino to Exchange	To replace the Lotus Notes	£126,169	£126,169

	Project name	Project Description	Project budget	2014-15 budget
	migration	mail, contacts and calendar services with Microsoft Exchange/Outlook		
6	Direct Debit Review	A review of the processes of collecting HCPC registration income	£49,266	£49,266
7	Online renewals review and change of payment provider	Making improvements to the Online Portal and changing our payment provider	£150,650	£150,650
8	FTP changes 2014-15	A yearly project to implement small to medium sized developmental changes into the FTP CMS system	£67,563	£67,563
9	Net Regulate change 2014-15	A yearly project to implement small to medium sized developmental changes into the Net Regulate system	£129,606	£105,726

21. Project Management supporting activities

21.1. In addition to the management of the major projects the department will also undertake the following activities.

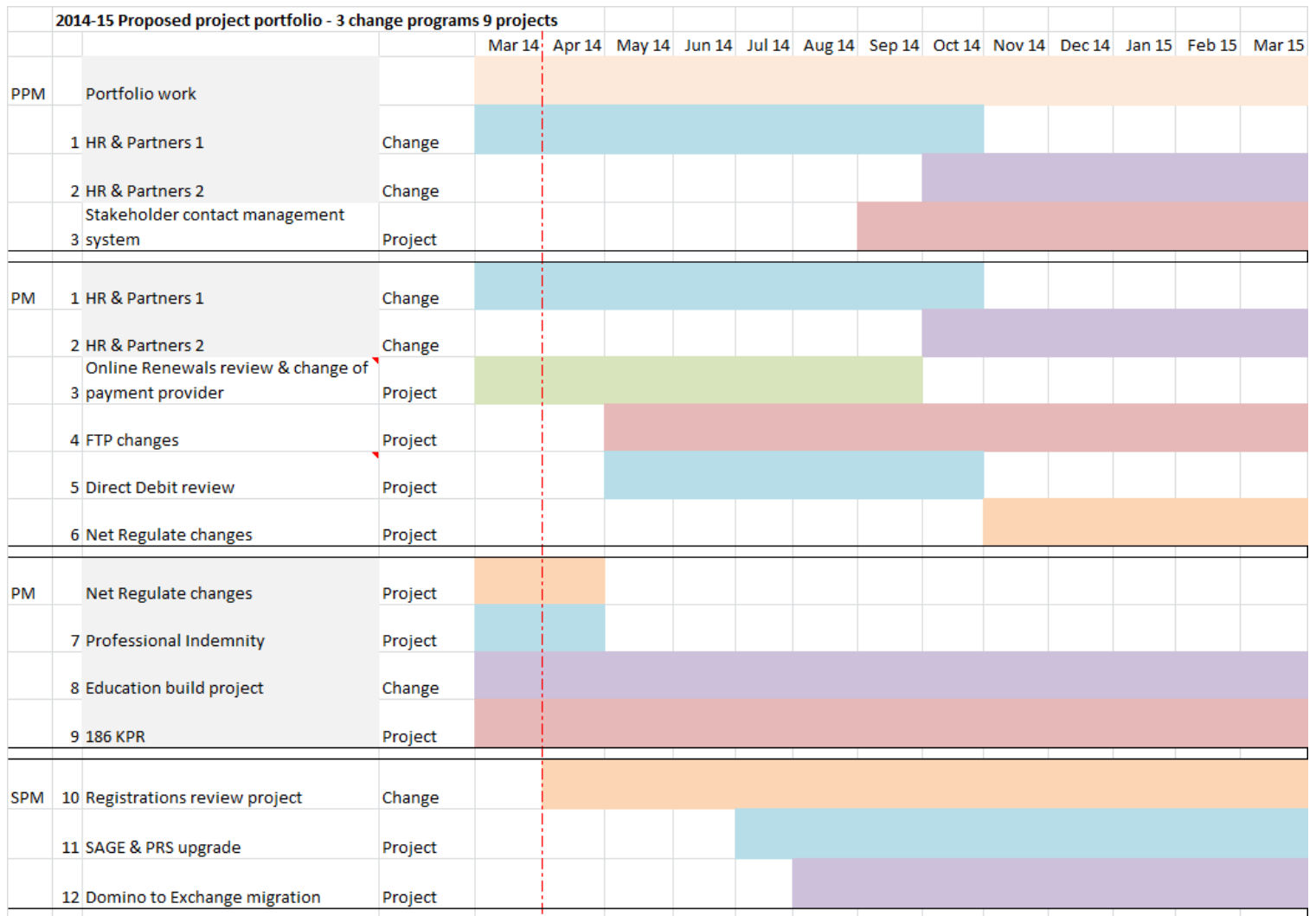
21.1.1. **Review of reporting documentation to EMT:** A review of the reporting documentation that is regularly presented to EMT will be undertaken to ensure that the information is relevant and clearly presented.

21.1.2. **Development of more detailed Project Management Office (PMO) processes:** As the size and complexity of the portfolio increases, increased due diligence relating to project approval and management is required to ensure consistency in project management across the organisation.

A number of new processes will be written and implemented to ensure that this is achieved.

21.1.3. **Review of project management practices within the health regulation sector:** A review of the practices within organisations within the sector will be undertaken to determine learning points and best practice.

22. Provisional portfolio timeline



23. Risks managed by the Project Management Department

R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the on-going risk)	Impact before mitigations Jan 2014	Likelihood before mitigations Jan 2014	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2014	RISK score after Mitigation Sept 2013
8	Project Management	8.1	Fee change processes not operational by required date	Director of Finance Project Portfolio Manager	3	3	9	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	-	Low	Low
	Project Management	8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation	Project Lead Project Portfolio Manager	5	1	5	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Assess lessons to be learned from previous projects	Low	Low
	Project Management	8.14	Failure to deliver a system & w of the HR & Partners departments	Director of HR Project Portfolio Manager	3	2	6	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Project Initiation stage to pay particular attention to project scope and breadth/reach of project	Low	Low
	Project Management	8.15	Professional Indemnity Insurance. Unable to deliver statutory requirements	Director of Operations & Project Portfolio Manager	5	3	15	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Work with DH to ensure it is possible to deliver the requirement	Low	Low
	Project Management	8.17	Organisation wide resourcing may impact project delivery	EMT & Project Portfolio Manager	3	4	12	Manage resources accordingly	Accept changes to planned delivery		Med	Med

12. Facilities management

- 12.1. This document sets out a plan for the work of the Facilities department within the HCPC.
- 12.2. The department manages the Facilities, Building Refurbishments and Health & Safety on behalf of the EMT for properties owned or leased by HCPC.

13. Human resources within Facilities Management Department

- 13.1. The Facilities Management Department consists of six employees and will be expanded to seven in 2014-15:

Steve Hall	Facilities Manager
Christopher White	Facilities Supervisor
Robert Pope	Facilities Officer
Michael Burke	Caretaker
Olivia Tilmuth	Receptionist
Sylvia Armstrong	Receptionist
TBD	Receptionist

The salaries for these positions are held within the Facilities budget.

14. Financial resources for Facilities Management activities

- 14.1. This work plan assumes an operating budget of £1,658,249 and a capital budget of £46,000 totalling £1,704,249.
- 14.2. The figures are based on a combination of firm budgets following basic research from third party suppliers and by drawing data from current financial year along with estimated growth in headcount.

15. Facilities Management activities in 2014 – 15

- 15.1. The following work streams will take place in financial year 2014-15.

	Work stream	Description	Estimated cost
1	Review Health	Carry out gap analysis of	£2000

	Work stream	Description	Estimated cost
	& Safety policy and procedures	current policy and procedures against best practice and current legislation	
2	Additional Receptionist	Recruit Receptionist to cover 186 Kennington Park Road	Post is budgeted for in 2014-15 financial year
3	Toilets refresh	Replace china ware to Gents toilets in 22-26 Stannary Street	£1000
4	Ceilings	Replace ceilings to Basement Meeting Room and corridor	£10000
5	Meeting room tables	Installation of vanity panels meeting room tables	£5000
6	Recycling cabinets	Replace current recycling cabinets with those of Herman Miller model plus remove all waste bins	£10000
7	Wall protection	Install perspex wall protection to stair adjacent to old Council Chamber	£500
8	Signage	Install HCPC signage to 33 Stannary Street	£500
9	Air Conditioning	Replace units located in Reception and Room 13	£10000
10	186 Kennington Park Road	Continue design work for this project	Budget held by Project Management department

16. Facilities Management activities in 2013 - 14

	Work stream	Status	Comments
1	Replace ceilings to Park House Offices	Complete	
2	Refurbish former tea point adjacent to old Council Chamber	Complete	
3	Repaint Park House Corridor from lift lobby to	Complete	

	Work stream	Status	Comments
	Stannary Street end of bridge		
4	Repainting of 22-26 Stannary Street toilets and adjacent corridors	Complete	
5	Additional access control for 186 Kennington Park Road	Complete	
6	Structured cabling to 186 Kennington Park Road	Complete	
7	Dedicated fibre optic link to offices located in 33 Stannary Street	Complete	Included tunnelling beneath Stannary Street
8	186 Kennington Park Road redevelopment (Whitefield House Rebuilding Project Phase 1)	On-going	This is a major project managed within the Project Management department project portfolio
9	Air conditioning installation to offices located in 33 Stannary Street	Complete	

12. Business Process Improvement

- 12.1. This document sets out the plan for work of the Business Process Improvement department within HCPC, and to provide a basis against which the work of the department can be planned and measured.
- 12.2. Business Process Improvement (BPI) maintains develops and promotes the Quality Management System, Information Security, Risk and information analysis, Business Continuity and process improvement. BPI is also responsible for ad-hoc business reporting and data extraction from business datasets.
- 12.3. Equality & Diversity processes are monitored within Quality audits.

13. Human resources within Business Process Improvement

- 13.1. The Business Process Improvement Department consists of 2 full time employees.
 - Roy Dunn Head of Business Process Improvement
 - TBD Quality Compliance Auditor
- 13.2. All BPI employees must be trained to carry out internal ISO 9001 and ISO 27001 audits.

14. Business Process Improvement activities in 2014-15

- 14.1. **Maintain ISO 9001:2008 (quality management system) certification and increase quality control activities**

[HCPC Risk Register reference: 2.3 & 9.1]
- 14.2. Business Process Improvement aim to undertake an average of one audit every month over 2014-15. This will be a combination of departmental process audits, risk based audits, multi-department audits and supplier audits.
- 14.3. Near Miss Reports may substitute for departmental audits, if applicable.
- 14.4. The ISO9001:2008 standard is to be replaced with a new, revised standard (ISO 9001:2015). The new standard moves away from “Plan, Do, Check, Act” cycle to a risk management approach. Several sections of HCPC’ quality management system will need to be refreshed to align to the new

standard. This is a substantive piece of work that will impact all departments across the organisation.

- 14.5. Scope of audits will be increased to include assessment of information security controls against the ISO 27001 information security standard. These will include the assessment of departmental assets lists, the nature of threats and vulnerabilities determined, and ensuring the risk scores are appropriate.
- 14.6. Two external audits by British Standards Institute (BSI) are due to take place in the financial year. BSI's external audit in April/May 2014 will include:
- Management System Organisation and Review,
 - International Registrations,
 - Work Environment & Infrastructure (Facilities & IT).

BSI's external audit in October 2014 will include:

- Education,
 - Purchasing & Supplier validation,
 - Secretariat,
 - Staff development & training.
- 14.7. The newly appointed Quality Compliance Auditor will be responsible for conducting quality compliance audits of regulatory documents and records across all areas of the organisation except FTP. The role is to ensure that regulatory decisions across the organisation are made correctly, consistently and are fully supported by all the available information provided by scrutinising a large sample of these decisions.
- 14.8. Improve HCPC's information security and prepare for ISO 27001:2013 (information security) certification**
- [HCPC Risk Register reference: 2.1, 5.3, 15.7, 17.1, 17.2, 17.3, 17.4]
- 14.9. The ISO 27001 was substantially revised in 2013. This has had a major impact on HCPC's preparation for ISO 27001 certification. Effort continues to convert existing ISO 27001 work to meet the revised standard.
- 14.10. It is activated that stage 1 audit will be carried out by BSI in the Q1 2014 and stage 2 in Q2 2014 provided no major uncontrolled risks are located.

14.11. It should be noted that work on increasing security (outside the ISO27001 process) will continue. This includes discrete work with other departments, contractors and suppliers.

14.12. Purchase information security awareness training software for employees, contractors, partners and Council/Committee members.

[HCPC Risk Register reference: 2.1, 5.3, 15.7, 17.1, 17.2, 17.3, 17.4]

14.13. A new online training solution will be sourced and customised to educate and test employees, contractors, partners and Council/committee members on their responsibilities in regards to information security.

14.14. On-going training of employees, contractors, partners and Council members is a prerequisite to ISO 27001 (information security) certification. This will also require input from other departments to help tailor the training to their specific needs.

14.15. An “all employee” presentation concerning security and or risk will take place in the summer as the new “Computer Based Training” training system is rolled out.

14.16. Maintain business continuity (disaster recovery) readiness

[HCPC Risk Register reference 2.1, 2.5]

14.17. HCPC will carry out an annual disaster recovery / business continuity with a predefined scenario undertaken by EMT, CDT or other parts of the business, with the assumption that some members of other groups are unavailable.

14.18. HCPC’s hardcopy business continuity plan has been in its current form since December 2008. It is desirable to move to an electronically available system. Suitable options will be investigated and a solution will be implemented if it falls within the Operations budget allocated for this purchase.

15. Financial resources for Business Process Improvement

	Work stream	Description	Estimated cost
1.	Certification to ISO27001:2013 (Information Security standard)	Obtain certification to the standard, including approx 6 person days auditing	£9,640 for certification, then £4,300 per year audit fees

2.	Information Security Awareness training and validation	Online training packages for; employees and contractors members and partners	£15,000
3.	Online Business Continuity plan	Online delivery and maintenance of a hosted Business Continuity / Disaster Recovery system	£26,500
4.	Departmental training & development	ISO9001:2008 Internal Auditor ISO27001:2013 Internal Auditor	£1,000 £1,500
5.	Reporting software maintenance and development	Update of the data replication and database structure, in response to changes in the NetRegulate Registration system	£5,000

16. Certification within Business Process Improvement

The basic minimum skill set to be maintained in the BPI function is as follows

	No. of people required with this qualification	Current people with qualification	Minimum training required
ISO 9001 internal auditor	2	1	1
ISO 9001 lead auditor	1	1	0
ISO 27001 internal auditor	2	1	1
ISO 27001 lead auditor	1	1	0
Certificate in Information Security Management Principles	1	1	0

17. Business Process Improvement activities in 2013 - 14

17.1. ISO9001:2008 : Maintenance and raising the profile of Quality

[Risks 2.3, 9.1 Quality Management]

17.2. HCPC's ISO9001: 2008 quality management system has been audited by BSI in May and October 2013 and continues to meet the ISO 9001 standard. The May audit was a recertification audit, reviewing all previous audits over the last 3 years.

17.3. Business Process Improvement averaged an internal audit every month over 2013-14 through a combination of departmental audits, risk based audits, multi-department audits and Near Miss Reports. Supplier audits were also carried out with Deepstore, an archiving contractor and Europa, a major printing supplier and an events management supplier.

17.4. All Finance Department processes have been reviewed. The transactions area has been supported with newly mapped out processes.

17.5. Improvement to Quality Management System software

[Risks 2.3, 9.1, Unacceptable service standards, maintenance of ISO registration]

17.6. Although the service to place HCPC's Quality Management System on the BSI Entropy has commenced, the migration has been delayed by difficulties in training the required employees, and data migration.

17.7. ISO27001 standard

[Risks 2.1, 5.3, 15.7, 17.1, 17.2, 17.3, 17.4; Data Security]

17.8. The creation of an ISO27001 Information Security Management System (ISMS) with our existing Quality Management System were postponed due to significant changes in the latest version of ISO27001. EMT decided to move straight to the new standard and be compliant, by the end of the Financial Year, with a completed set of documentation.

17.9. Selection and purchase of enhanced statistical reporting tools

[Risks 2.3, 9.1, Unacceptable service standards, maintenance of ISO registration]

17.10. HCPC currently use a combination of Excel, Crystal Reports and DBVisualizer to extract and report on trends in data.

17.11. The IT Department made changes to the background reporting software configuration over early summer 2013, which required testing and refinement of all major reports used. This was carried out satisfactorily.

17.12. To date no software purchase has been made, and we will continue with the tools already in place.

17.13. Disaster Recovery / Business Continuity – on-going development, testing and training

[Risks 2.1, 2.5, Business Continuity]

17.14. HCPC have used 3 days of Business Continuity testing. IT team Members went to Uxbridge with CDT members, plus observers and taken through a detailed progressive building loss scenario with continually changing information. A report was provided to EMT.

17.15. vsRISK in support of the ISO27001 project

[Risks 2.1, 5.3, 15.7, 17.1, 17.2, 17.3, 17.4; Data Security] (item added after submission of initial plan)

17.16. This system was purchased to track the information assets used by HCPC. This is an essential requirement of the ISO27001 standard. Threats and vulnerabilities and mitigations / controls must be tracked long term by HCPC to achieve and maintain this standard.

17.17. Additional major items undertaken

Business Process Improvement have also been involved in the following;

- The output from the Near Miss reporting process has been summarized for the Audit Committee. A substantial amount of effort was required in researching some near miss reports.
- An archive destruction & scanning project commenced; however PSA International scrutiny requirements are now impacting the project and increasing costs for this and future years.
- Commenced design for encryption processes for Registration (and potentially FTP) Partners, currently on hold. End user device encryption is current difficulty. This may be mitigated by requiring regular confirmation of adherence to requirements.
- Information security and process design input to the “SWAP Project” – a supplier portal project for CPD and International assessments. Possible model for future FTP Bundle delivery to electronic devices.
- Participation with advice on Information Security risk in the FTP Information Security working party.

- Reformatting Registrations forecast and adding additional data to supplement finance dept requirements (NMR35). The delivery of a FAST compliant Registration Numbers Forecast has been progressed since the winter, with the contractor company F1F9 to roll out the first version to our requirements. This model will be used by the Finance and FTP departments to deliver their own FAST compliant business critical spread sheet models.
- Information Security training via a CBT package has been sourced and purchased for all Partners and Members in conjunction with the Partners department as an additional project. This will now be an annual occurrence. An unbudgeted cost of £9780 was found from existing financial resources within BPI, to deliver this training package.
- Reporting: PSA required information about International HCPC applicants at short notice.
- Reporting: Policy & Standards required information about EEA applicants for Dept Business & Skills report.
- HCPC is consulting on a Clear Desk policy. This was presented, to all employee meetings.
- More secure packing materials for bundle and application pack hard copy delivery were obtained following feedback from Partners.
- Input to departmental restructure, Information Service Manager > Quality Compliance Auditor roles etc.
- Input to the Registrations department Online Renewals review on information security aspects.
- Contributed and coordinated discussions around Registrations email archiving vs. destruction.
- Providing ad-hoc advice on Information Security for projects around the organisation
- The tender process for Registrations department printing has recommenced following it's original termination in 2013. Input and scoring for the Security Print procurement effort in the Registrations department.
- An extract for the Registrations department was created to facilitate the take up of the Online renewals service - data extracts 1901 dates of birth
- NHS Protect project - extracting and securely delivering intl applicant details to NHS for validation

- The level of FOI reporting required by HCPC's stakeholders and the public continues to add a significant burden to the amount of ad hoc reporting required.

Registrations

R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2014	Likelihood before mitigations Jan 2014	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2014	RISK score after Mitigation Jul 2013
10	Registration	10.1	Customer service failures <small>Links to 11.1, 11.2</small>	Director of Operations, Head of Registration	5	4	20	Accurate staffing level forecasts	Adequate staff resourcing & training	Supporting automation infrastructure eg call centre systems, NetRegulate system enhancements, registration re-structure	Low	Low
	Registration	10.2	Protracted service outage following a NetRegulate Registration system failure <small>Links to 5.1-5.3 and 17.1</small>	Director of IT	5	3	15	Effective backup and recovery procedures	Maintenance and support contracts for core system elements.	Annual IT Continuity tests	Low	Low
	Registration	10.3	Inability to detect fraudulent applications <small>Links to 9.1, 17.1 and 17.2</small>	Director of Operations, Head of Registration	5	2	10	Financial audits, system audit trails	Policy and procedures supported by internal quality audits	Validation of submitted information, Education & ID checks	Low	Low
	Registration	10.4	Backlogs of registration and applications <small>Links to 1.1</small>	Director of Operations, Head of Registration	4	3	12	Continually refine model of accurate demand-forecasting, to predict employees required to prevent backlogs, and service failures	Process streamlining	Maintain required employee attendance and time keeping to service applicants and registrants	Low	Low
	Registration	10.5	Mistake in the Registration process leading to liability for compensation to Registrant or Applicant	Director of Operations, Head of Registration	5	2	10	Audits by Registration Management, system audit trails, external auditors	Professional indemnity insurance. Excess £2.5K. Limit £1M. (Doesn't cover misappropriation of funds)	Policy and procedures supported by ISO quality audits and process controls/checks	Low	Low
18	CPD	10.6 (18.1-7.5)	CPD processes not effective <small>Links to 1.1</small>	Director of Operations, Head of Registration	4	2	8	Well documented processes	Appropriately trained members of the registrations team	Monitor and regulator feedback to the Education & Training Committee	Low	Low

Project Management

R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the on-going risk)	Impact before mitigations Jan 2014	Likelihood before mitigations Jan 2014	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2014	RISK score after Mitigation Sept 2013
8	Project Management	8.1	Fee change processes not operational by required date	Director of Finance Project Portfolio Manager	3	3	9	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	-	Low	Low
			Links to 1.1, 15.3									
	Project Management	8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation	Project Lead Project Portfolio Manager	5	1	5	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Assess lessons to be learned from previous projects	Low	Low
			Links to 1.1, 15.3									
	Project Management	8.13	Failure to deliver a system & process review of the Education department	Director of Education Project Portfolio Manager	3	2	6	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Ensure robust testing including load	Low	Low
	Project Management	8.14	Failure to deliver a system & w of the HR & Partners departments	Director of HR Project Portfolio Manager	3	2	6	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Project Initiation stage to pay particular attention to project scope and breadth/reach of project	Low	Low
	Project Management	8.15	Professional Indemnity Insurance. Unable to deliver statutory requirements	Director of Operations & Project Portfolio Manager	5	3	15	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders	Work with DH to ensure it is possible to deliver the requirement	Low	Low
	Project Management	8.16	Annotation of the Register. Failure to deliver statutory requirements	Director of Operations & Project Portfolio Manager	5	2	10	Project is managed as part of major projects portfolio & managed in accordance with HCPC Project Management process	Project progress monitored by EMT & stakeholders		Low	Low
	Project Management	8.17	Organisation wide resourcing may impact project delivery	EMT & Project Portfolio Manager	3	4	12	Manage resources accordingly	Accept changes to planned delivery		Med	Med

											Operations	
R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2014	Likelihood before mitigations Jan 2014	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2014	RISK score after Mitigation Sept 2013
2	Operations	2.1	Inability to occupy premises or use interior equipment	Facilities Manager	4	2	8	Invoke Disaster Recovery/Business Continuity plan	Commercial combined insurance cover (fire, contents, terrorism etc)	-	Low	Low
	Operations	2.2	Rapid increase in registrant numbers	Chief Executive and EMT	3	5	15	Scaleable business processes and scalable IT systems to support them	Influence the rate at which new professions are regulated	-	Low	Low
			Links to 1.2, 13.4									
	Operations	2.3	Unacceptable service standards	Director of Operations	5	4	20	ISO 9001 Registration, process maps, well documented procedures & BSI audits	Hire temporary employees to clear service backlogs	Detailed workforce plan to match workload.	Low	Low
			Links to 9.1, 10.4									
	Operations. Impact & Likelihood dropped from 4,4	2.4	Inability to communicate via postal services (e.g. Postal strikes)	Facilities Manager	3	3	9	Use of other media including Website, newsletter & email and courier services	Invoke Disaster Recovery Plan	Collection of >80% income fees by DD	Medium	Medium
	Operations	2.5	Public transport disruption leading to inability to use Park House	Facilities Manager & Head Bus Proc	4	5	20	Contact employees via Disaster Recovery Plan process	Make arrangements for employees to work at home if possible	-	Low	Low
	Operations	2.6	Inability to accommodate HCPC employees	Facilities Manager	4	3	12	Ongoing Space planning	Additional premises purchase or rented	-	Low	Low
			Links to 5.2									
	Operations	2.7	Interruption to electricity supply	Facilities Manager	4	4	16	Relocate to other buildings on site	If site wide longer than 24 hours invoke DR Plan	-	High	High
	Operations	2.8	Interruption to gas supply	Facilities Manager	1	2	2	Temporary heaters to impacted areas			Low	Low
	Operations	2.9	Interruption to water supply	Facilities Manager	2	2	4	Reduce consumption	Temporarily reduce headcount to align with legislation	Invoke DR plan if over 24 hrs	Low	Low
	Operations	2.10	Telephone system failure causing protracted service outage	Director of IT	4	3	12	Support and maintenance contract for hardware and software of the ACD and PABX	Backup of the configuration for both the ACD and PABX	Diverse routing for the physical telephone lines from the two exchanges with different media types	Low	Low
	Operations	2.11	Basement flooding	Facilities Manager	4	4	16	Flood barrier protection to prevent ingress	-	-	Medium	Medium
	Operations. Updated description	2.12	Significant disruption to UK transport network by environmental extremes e.g. snow, rain, ash; civil unrest or industrial action; disrupts planned external activities	Director of Operations & Head Bus Proc	3	2	6	Use of alternate networks	Use of video or teleconferencing facility to achieve corum	Invoke Disaster Recovery/Business Continuity plan	Low	Low
	Operations	2.14 (formerly 11.5)	Health & Safety of employees	Chief Executive & Facilities Manager	5	4	20	Health & Safety Training, policies and procedures	H&S Assessments	Personal Injury & Travel insurance	Low	Low
			Links to 4.9, 6.3									

Business Process Improvement

R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2014	Likelihood before mitigations Jan 2014	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2014	RISK score after Mitigation Sept 2013
		2.5	Public transport disruption leading to inability to use Park House	Facilities Manager & Head Bus Proc	4	5	20	Contact employees via Disaster Recovery Plan process	Make arrangements for employees to work at home if possible	-	Low	Low
		2.12	Significant disruption to UK transport network by environmental extremes e.g. snow, rain, ash; civil unrest or industrial action	Director of Operations & Head Bus Proc	3	2	6	Use of alternate networks	Use of video or teleconferencing facility to achieve corum	Invoke Disaster Recovery/Business Continuity plan	Low	Low

	Information Security	17.2	Document & Paper record Data Security	EMT; Head of Business Improvement	5	3	15	Use of locked document destruction bins in each dept. Use of shredder machines for confidential record destruction in some depts e.g. Finance.	Data Protection agreements signed by the relevant suppliers. Dept files stored onsite in locked cabinets. Training where appropriate (Employees & Partners)	Regarding Reg Appln forms processing, employment contract includes Data Protection Agreement	Low	Low
	Information Security	17.5	Loss of physical data despatched to and held by third parties for the delivery of their services	Director of Ops and Hd of Business Process Improv	5	3	15	Data Protection/Controller agreements signed by the relevant suppliers. Use of electronic firewalls by suppliers.	Use of transit cases for archive boxes sent for scanning or copying and sign out procedures.	-	Low	Low

