

Council, 25 March 2015

Operations Directorate Work Plan 2015-2016

Executive summary and recommendations

Introduction

The Operations Directorate Work Plan for the period 1 April 2015 to 31 March 2016 is attached.

Decision

The Council is invited to discuss and agree the attached document.

Background information

None

Resource implications

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

Financial implications

The financial implications of the planned work are accounted for in the Operations, Facilities, Major Projects, Business Process Improvement budgets for 2015-2016.

Appendices

See paper.

Date of paper

13 March 2015

Operations Directorate

2015 – 2016 work plan

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1. Operations

- 1.1. This document sets out the priorities, resources and responsibilities of the Operations Directorate for the financial year 2015 – 2016 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 Manager
Richard Houghton	Head of Registration
Roy Dunn	Head of Business Process Improvement

Steve Hall

Facilities Manager

2.2. There are no new or additional roles planned for 2015 – 2016.

3. Risks managed by Operations

R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2015	RISK score after Mitigation Jul 2014
	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
	Operations	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

4. Registration Department

- 4.1. 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.
- 4.2. 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.
- 4.3. As in previous years the Registration work plan has been completed with the following principles in mind:
 - 4.3.1. Employing the best people in a good working environment and supporting them with ongoing training, reliable equipment and up-to-date systems;
 - 4.3.2. Recognising individuals and teams by promoting from within wherever possible;
 - 4.3.3. Encouraging everyone to enjoy rewarding careers; and
 - 4.3.4. Providing job satisfaction.
- 4.4. 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.
- 4.5. It is important to remember that it is the continuation of a journey in Registration.

- 4.6. The Registration Department's main responsibilities are:
- 4.6.1. Processing application forms from individuals who have undertaken an approved course in the UK;
 - 4.6.2. Processing applications for readmission to the Register;
 - 4.6.3. Processing registrants registration renewal forms;
 - 4.6.4. Processing international / EEA / temporary application forms;
 - 4.6.5. Processing grandparenting application forms;
 - 4.6.6. Processing incoming general correspondence including letters, requests for de-registration, change of addresses;
 - 4.6.7. Coordinating continuing professional development (CPD) profile assessment days;
 - 4.6.8. Replying to emails; and
 - 4.6.9. Answering incoming telephone calls.
- 4.7. 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.

5. Resources within the Registration Department

- 5.1. This work plan is based on a budget of £3,031, 884 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 2014 - 2019', which were presented to the Finance and Resources Committee on the 2 July 2014.
- 5.2. The Registration Department organisational structure for 2015 - 2016 consists of
- 5.2.1. A Head of Registration;
 - 5.2.2. Five Registration Managers;
 - 5.2.3. A Registration Operations Manager;

- 5.2.4. A Registration Operational Planner;
 - 5.2.5. A Registration Quality Assurance Manager;
 - 5.2.6. Six Team Leaders;
 - 5.2.7. A Registration Trainer;
 - 5.2.8. Two Registration Co-ordinators;
 - 5.2.9. A Registration Administrator; and
 - 5.2.10. Thirty-nine Registration Advisors including two Apprentices.
- 5.3. There are no new or additional roles planned for 2015 – 2016.
- 5.4. 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.
- 5.5. 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.

6. Registration priorities 2015 – 2016

- 6.1. 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.

7. Registration main operational activities

- 7.1. There are 9 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 2015 – 2016
1.	UK applications	<i>The Registration Department aims to respond to all UK application requests</i>

		<i>within ten working days of receipt. We aim to process all complete UK applications within ten working days of receipt, or inform the applicant within ten working days if their application is incomplete.</i>
2.	Readmissions	<i>The Registration Department aims to process all complete readmission applications within ten working days.</i>
3.	International / EEA applications	<i>The Registration Department aims to verify completeness of all international and EEA applications and acknowledge receiving the application within 5 working days of receipt. The Registration Department aims to process complete applications within 60 working days of receipt.</i>
4.	Grandparenting applications	<i>The Registration Department aims to verify completeness of all Grandparenting applications and acknowledge receipt of the application within 5 working days. The Registration Department aims to process complete applications within 60 working days of receipt.</i>
5.	Continuing Professional Development (CPD) audits for the following professions in 2015 / 2016: <ul style="list-style-type: none"> • • Practitioner psychologists; • Orthoptists; • Paramedics; • Clinical scientists; • Prosthetists / orthotists; • Speech and language therapists; • Occupational therapists; • Biomedical scientists; • Radiographers. 	<i>The Registration Department aims to acknowledge receiving the CPD profile application within 5 working days of receipt. The Registration Department aims to process a complete CPD profile within 60 working days of receipt.</i>
6.	Renewal of registration	<i>The Registration Department aims to renew the registration of a Registrant with active direct debit set up, within ten minutes of the Registrant completing their renewal online account. The Registration Department aims to process a complete paper renewal form within 10 working days of receipt.</i>
7.	Postal	

	correspondence	<i>The Registration Department aims to process postal correspondence within ten working days.</i>
8.	Emails	<i>The Registration Department aims to respond to 80% of all emails within one working day and all emails responded to within two working days.</i>
9.	Telephone call answering	<i>The Registration Department aims to answer 95% of all telephone calls.</i>

8. Registration supporting activities

- 8.1. 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.
- 8.2. **Partner assessor recruitment, selection and training:** In 2015 – 2016 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.
- 8.3. There will also be refresher training for all 176 Registration Assessors this financial year. These sessions will include training on the Health and Social Work Professions Order (HSWPO) and operational processes. Registration will also continue to assist the Partners Department with the delivery of the Registration Assessor performance appraisal system.
- 8.4. **Information systems (database and electronic records):** In 2015 – 2016, 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:
- Online portal for CPD audit profile assessment - Identify, design and pilot an online database to facilitate the assessment of CPD profiles electronically.
- 8.5. **Liaison with stakeholders:** In 2015 – 2016, 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.

- 8.6. **Committee and Council work:** In 2015 – 2016, 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.
- 8.7. **Publications:** The department is responsible for producing a number of publications, including the Continuing Professional Development (CPD) biennial audit report, registration certificate, renewal form and the UK, international, grandparenting, readmission application forms and guidance notes. These documents are updated and reviewed regularly.

9. Registration objectives in 2015 – 2016

A number of objectives have been identified that will require action and completion in 2015 – 2016.

- 9.1. **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:
- 9.1.1. 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;
 - 9.1.2. Conduct, deliver and review the call monitoring process to deliver individual feedback to Registration Advisors; and
 - 9.1.3. Continue to facilitate a customer research programme to:
 - 9.1.3.1. Gain an in-depth insight into the overall customer service experience from a registrant viewpoint;
 - 9.1.3.2. Gain qualitative feedback on call handling quality;
 - 9.1.3.3. Have a clear basis for making decisions about future service developments; and
 - 9.1.3.4. Deliver improvements identified.
- 9.2. **Registration Objective – Effective capacity planning:** To ensure that Registration effectively plan the use of our resources, capacity planning will continue to be developed to accurately forecast workload.
- 9.3. **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. Registration will aim to continue to improve our verification process by enhancing our verification database by continuing to store examples of valid worldwide competent authority contact details, education institution details and verification documentation.

9.4. **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:

9.4.1. Arranging for all registration employees to gain an accredited customer service qualification;

9.4.2. Developing customer service training to improve skills to deal with more challenging situations;

9.4.3. Developing and delivering the long term training plan;

9.4.4. Continuing to review and develop the online learning management system which enables the Registration Department to deliver its training online; and

9.4.5. Continuing to cross train all Registration employees.

9.5. **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:

9.5.1. Our current printer prints all registration renewal forms, registration application forms, some publication material, letters and registrant certificates effectively and efficiently;

9.5.2. 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;

9.5.3. Our office services supplier scans and copies all registration renewal and application forms effectively and efficiently; and

9.5.4. NHS Protect perform a robust fraud measurement exercise.

9.6. **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 2015 - 2016. 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.

9.7. The Registration Department will contribute to a number of major projects over the coming financial year. The following projects have been approved for initiation in 2015-16 dependent on resources being available within the organisation.

	Project name	Project Description
1	Registrations system build project –approval is dependent on an acceptable business case being presented towards the closure of the current process and systems review project	Building and deploying a new system for the Registrations department.
2	Fees review	Undertaking a review of registrant fees and potentially entering into consultation with registrants. Subsequently communicating any changes to registrants.
3	PCI / DSS	Review of our obligations under the PCI/DSS (payment processing) legislation plus implementation of any changes that we need to make to our technology.

9.8. The department will support the following ongoing major projects which will continue into financial year 2015-16.

	Project name	Project Description	Projected completion date
1	SAGE & PRS Upgrade	An upgrade to the latest version of SAGE and to an updated purchase order system	Sept 15

	Project name	Project Description	Projected completion date
2	Domino to Exchange Migration	To replace the Lotus Notes mail, contacts and calendar services with Microsoft Exchange/Outlook	July 15
3	NetRegulate Changes 2014-15	A yearly project to implement small to medium sized developmental changes into the Net Regulate system	July 15
4	HR & Partners systems build	Building and deploying a new system/s for the HR and Partners department	June 16
5	Stakeholder Relationship Management System	The development and build of a stakeholder contact management system to enable effective communication with external HCPC stakeholders	May 16
6	Registrations process and systems review	A review of the Registration Department processes and systems, identifying requirements for replacement processes and systems and identifying third party suppliers	August 15
7	Professional Qualifications Directive Implementation Project	A project to determine how the HCPC remains compliant with the changing European Directive	TBD
8	Telephone Credit Card Automation and hosting change	A project to change our telephone credit card processing systems to remain within technology support	TBD
9	Opening the register for Public Health Specialists	A project to open a part of the register for Public Health Specialists	April 16

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 2016 – 2017

- 11.1. 2016 – 2017 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 2017 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 2014 - 2015

- 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 provided valuable information that supported the recent changes to the Registration Department's service standards.
- 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. The appointment of a dedicated Registration Resource Planner has enabled the Registration Department to deliver improved performance over the past twelve months and effectively plan the workload.
- 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:
 - 12.4.1. The possibility of requesting all applicants from overseas to attend HCPC's offices with original identity and qualification documents has

been investigated further with meetings attended at other UK health regulators to understand their processes in this area. The team have also arranged additional meetings with electronic identity document verification specialists and a suitable technology solution has been identified.

12.4.2. 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;

12.4.3. NHS Protect have reintroduced the opportunity for HCPC to use their services to conduct a fraud measurement exercise. NHS Protect have recently completed a fraud measurement exercise and will be conducting a further one during 2015 – 2016.

12.5. **Registration Objective – Employee development:** This objective was met. A new customer service training programme has been introduced and all employees will have had the opportunity to attend this by December 2015. 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 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 2014 – 2015 is detailed below:

12.7.1. **NetRegulate (Registration system database) changes** – A yearly project to implement small to medium sized developmental changes into the NetRegulate system – The Functional Design Specification documentation is being written by Energysys (Net Regulate supplier). This project is due to be completed in July 2015;

12.7.2. **Professional indemnity** – Meeting statutory requirements, amendments to operational practices to ensure registrants have suitable professional indemnity insurance in place – All work on the operational project has been completed. Due to the delays in legislation being implemented and the majority of the preparatory activity being completed, the go-live process has been de-scoped from the project. The Registration and Policy and Standards Departments will jointly manage

the go-live process as part of business as usual. It is expected that this will happen in April 2015;

12.7.3. 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 – The majority of the business analysis for this project has been completed. The workshops have gone extremely well and very good progress has been made. However due a conflict of Finance Department resourcing for the Sage and PRS and Registrations projects, the project will be delayed for 2 months and will now close in August 2015. The delay on this project will however only lead to a one month delay in initiating the build project;

12.7.4. Online renewals review and change of payment provider – Making improvements to the Online Portal and changing our payment provider – Due to a lack of resourcing with the NetRegulate supplier – Energysys – the release of these changes was not possible prior to the Social Workers' renewal period. Since the realisation of the benefits associated with the changes was to be made during this period, a decision was made not to go ahead with implementing the changes. However, during the review of the payment costs the project was able to negotiate a 43% saving on card transaction fees £53,000 over each 2 year cycle. The project was closed in November 2014;

12.7.5. 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 – This project was completed by November 2014;

12.7.6. 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 – This project is due for completion in March 2015;

12.7.7. Stakeholder relationship management system - The project has been approved for initiation. Procurement of a business analyst for requirements gathering has now commenced and this project is due for completion in May 2016;

12.7.8. Sage and Purchase Requisition System (PRS) upgrade - The configuration of the system has been undertaken and user acceptance testing is underway, issues have been identified and are being worked upon with the systems due to go live at the end of March 2015;

12.7.9. Domino to Exchange migration - To replace the Lotus Notes mail, contacts and calendar services with Microsoft Exchange/Outlook – LAN2LAN have been appointed as the supplier for this project. Design

and planning discussions are being held. This project is due to be completed in July 2015;

12.7.10. **Direct debit review** - A review of the processes of collecting HCPC registration income – This project has been closed and the work will be delivered as part of the Registration process and systems review project;

12.7.11. **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 - This project was rolled into the Sage and PRS upgrade project above;

12.7.12. **InFocus distribution** – Developing an improved managed list of HCPC InFocus subscribers providing greater flexibility and communication options – This project was not initiated; and

12.7.13. **HR and Partners systems build phase** – This project has now commenced and configuration planning workshops are being undertaken with the chosen supplier – CoreHR. This project is due to be completed in June 2016.

13. Risks managed by the Registration Department

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

13.1.1. Customer service failures;

13.1.2. Inability to detect fraudulent applications;

13.1.3. Backlog of registration applications;

13.1.4. Mistakes in the registration process leading to liability for compensation to the registrant or applicant; and

13.1.5. CPD processes not effective.

13.2. Risk register

THE HEALTH AND CARE PROFESSIONS COUNCIL												
RISK ASSESSMENT Jan 2015												
												Registrations
R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2015	RISK score after Mitigation Jul 2014
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

13.3. Risk matrix

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

RH - Richard Houghton, Head of Registration

CH - Claire Harkin, Registration Operations Manager

AL – Anna Lubasinska, Registration Manager

CF – Christopher French, Registration Manager

JW – James Wilson, Registration Quality Assurance Manager

DA – Dushyan Ashton, Registration Manager

PR – Paul Robson, Registration Manager

NB – Natalie Berrie, Registration Manager

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

14. Project Management Department

- 14.1. The department manages the major projects undertaken within the organisation on behalf of the EMT.
- 14.2. The decision as to which projects should be initiated in this financial year was made by the EMT in November 2014.
- 14.3. 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.

15. Equality & Diversity Scheme and projects

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

16. Human resources within the Project Management Department

- 16.1. The Project Management Department consists of four and a half employees and will be expanded to five and half in 2015-16:

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

17. Project Management role descriptions

17.1. 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

17.2. Senior Project Manager

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

17.3. Project Manager

Responsible for the delivery of the major projects within the portfolio

17.4. Administrative support

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

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

18. Financial resources for major projects

18.1. This work plan assumes an operating budget of £822,881 and a capital budget of £1,607,670, totalling £2,430,551.

18.2. 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 on data from previous projects.

19. Project management activities in 2014-15

	Project Name	Status	Comments
	Existing projects		
1	HR and Partners systems and process review	Complete	
2	Education system build	In progress	Currently preparing for go-live in March 2015

	Project Name	Status	Comments
3	186 Kennington Park Road redevelopment	In progress	
4	Net Regulate Changes	Complete	
5	Fees Review	In progress	All operational activities have been completed, the bug fixes that were required should be released into the live system in March 2015 and then the project will close
6	Professional Indemnity	Complete	
	New projects		
7	Registrations process and systems review	In progress	
8	HR and Partners system build	In progress	
9	Stakeholder contact management system	In progress	
10	SAGE & PRS upgrade	In progress	
11	Domino to Exchange migration	In progress	
12	Direct Debit Review	Closed	This project's activities were absorbed into the Registrations process and systems review project.
13	Online renewals review and change of payment provider	Closed	
14	FTP changes 2014-15	Did not initiate	This project is dependent on resources currently deployed to the Education system build project
15	Net Regulate change 2014-15	In progress	
	Projects approved mid-year		
16	Opening the register for Public Health Specialists	In progress	

	Project Name	Status	Comments
17	Professional Qualifications Directive	Initiating	A project to determine how the HCPC remains compliant with the changing European Directive
18	Telephone Credit Card Automation and hosting change	Initiating	A project to change our telephone credit card processing systems to remain within technology support

20. Project management activities in 2015-16

20.1. Ongoing major projects

The following major projects will continue into financial year 2015-16.

	Project name	Project Description	Projected completion date	Project budget	2015 -16 budget
1	Education System Build	Building and deploying a new system for the Education department	October 15	£1,098,117	£144,548
2	SAGE & PRS Upgrade	An upgrade to the latest version of SAGE and to an updated purchase order system	September 15	£122,714	£7,340
3	Domino to Exchange Migration	To replace the Lotus Notes mail, contacts and calendar services with Microsoft Exchange/Outlook	July 15	£116,727	£ 69,390
4	NetRegulate Changes 2014-15	A yearly project to implement small to medium sized developmental changes into the Net Regulate system	July 15	£69,403	£ 51,450
5	HR & Partners systems build	Building and deploying a new system/s for the HR and Partners department	March 16	£644,178	£454,761
6	Stakeholder Relationship	The development and build of a stakeholder contact management system to	May 16	£178,789	£162,450

	Project name	Project Description	Projected completion date	Project budget	2015 -16 budget
	Management System	enable effective communication with external HCPC stakeholders			
7	Registrations process and systems review	A review of the Registration Department processes and systems, identifying requirements for replacement processes and systems and identifying third party suppliers	August 15	£296,278	£105,465
8	FTP Changes 2014-15	A yearly project to implement small to medium sized developmental changes into the FTP CMS system	TBD	£ 70,942 TBC	£ 70,942
9	Professional Qualifications Directive Implementation Project	A project to determine how the HCPC remains compliant with the changing European Directive	TBD	£ 63,250 TBC	£ 63,250
10	Telephone Credit Card Automation and hosting change	A project to change our telephone credit card processing systems to remain within technology support	TBD	£ 96,145 TBC	£ 96,145
11	Opening the register for Public Health Specialists	A project to open a part of the register for Public Health Specialists	April 16	£402,154	£247,328

21. Major projects to initiate in 2015-16

21.1. The following projects have been approved for initiation in 2015-16 dependent on resources being available within the organisation.

	Project name	Project Description	Project budget	2015 -16 budget
1	Registrations system build project	Building and deploying a new system for the Registrations department	TBC	£ 798,833

	Project name	Project Description	Project budget	2015 -16 budget
2	Fees review	Undertaking a review of registrant fees and potentially entering into consultation with registrants. Subsequently communicating any changes to registrants	£ 58,650	£ 58,650
3	PCI / DSS	Review of our obligations under the PCI/DSS (payment processing) legislation plus implementation of any changes that we need to make to our technology.	£100,000 TBC	£100,000

22. Major projects to initiate in 2016-17

22.1. The following projects have been proposed for initiation in 2016-17 dependent on resources being available within the organisation.

	Project name	Project Description	Project budget	2016 -17 budget
1	FTP case management system review project	Reviewing the case management system for the Fitness to Practice department.	TBC	TBC

23. Project Management supporting activities

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

23.1.1. Continued development of Project Management Office (PMO)

processes: As the size and complexity of the portfolio increases, increased due diligence relating to project approval is required to ensure consistency in project approval across the organisation.

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

23.1.2. **Continued development of quality assurance processes:** To ensure that the projects within the portfolio are managed to similar standards, quality assurance processes will be written and implemented.

24. Provisional portfolio timeline

	Apr-15	May-15	Jun-15	Jul-15	Aug-15	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16
Education System Build												
SAGE & PRS Upgrade												
Domino to Exchange Migration												
NetRegulate Changes 2014-15												
HR & Partners systems build												
Stakeholder Relationship Management System												
Registrations process and systems review												
FTP Changes 2014-15												
Professional Qualifications Directive Implementation Project												
Telephone Credit Card Automation and hosting change												
Opening the register for Public Health Specialists												
Registrations system build project												
Fees review												
PCI / DSS												

25. Risks managed by the Project Management Department

THE HEALTH AND CARE PROFESSIONS COUNCIL												
RISK ASSESSMENT Jan 2015												
Project Management												
R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the on-going risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2015	RISK score after Mitigation Jul 2014
8	Project Management	8.1	Fee change processes not operational by required date <small>Links to 1.1, 15.3</small>	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 <small>Links to 1.1, 15.3</small>	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	8.13	Failure to build a system to the the Education departments requirements	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 to the HR & Partners departments requirements	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	8.17	Organisation wide resourcing may impact project delivery	EMT & Project Portfolio Manager	3	4	12	Manage resources accordingly	Accept changes to planned delivery		Med	Med
	Project Management	8.18	Registration processes review project	Director of Operations & 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	Assess lessons to be learned from previous projects	Low	Low

26. Facilities Department

26.1. The department manages the Facilities, Building Refurbishments and Health & Safety on behalf of the EMT for properties owned or leased by HCPC.

27. Human resources within Facilities Management Department

27.1. The Facilities Management Department consists of six employees and will be expanded to seven in 2015-16:

Steve Hall	Facilities Manager
Robert Pope	Facilities Supervisor
Abubacarr Jagana	Facilities Officer
TBC	Facilities Officer
Olivia Tilmuth	Receptionist
Sylvia Armstrong	Receptionist
TBD	Receptionist

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

28. Financial resources for Facilities Management activities

28.1. This work plan assumes an operating budget of £1,449,698. 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.

29. Facilities Management activities in 2015 – 16

29.1. The following work streams will take place in financial year 2015-16.

	Work stream	Description	Estimated cost
1	Review Health & Safety policy and procedures	Carry out gap analysis of current policy and procedures against best practice and current legislation	£2000
2	Additional Receptionist	Recruit Receptionist to cover 186 Kennington Park Road	Post is budgeted for in 2015-16 financial year

	Work stream	Description	Estimated cost
3	405 Kennington Road	Fit out to this space	tbd
5	Replace lamps with LED's	Replace halogen spotlights with LED's	£10000
6	Recycling cabinets	Replace current recycling cabinets with those of Herman Miller model plus remove all waste bins	£10000
7	Carpet replacement	Replace carpets in high traffic areas	£10000
8	Signage	Install HCPC signage to 33 Stannary Street	£500

30. Facilities Management activities in 2014 - 15

	Work stream	Status	Comments
1	Review Health & Safety policy and procedures	On-going	
2	Additional Receptionist	Completed	
3	Toilets refresh	Completed	
4	Ceilings	Completed	
5	Meeting room tables	Completed	
6	Recycling cabinets	Not completed	Difficulty in sourcing suitable secure solution
7	Wall protection	Completed	
8	Signage	Not completed	Landlord has not yet redecorated or give permission
9	Air Conditioning	Completed	
10	186 Kennington Park Road	Completed	Planning permission has been granted but project is now paused

31. Equality and Diversity within Facilities

31.1. As part of the HCPC equality and diversity scheme the Facilities Department will continue to scrutinise all processes to identify and, where practicable, mitigate against any adverse impact to any groups compared to others.

32. Risks managed by the Facilities Department

R	Category	Ref	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2015	RISK score after Mitigation Jul 2014
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	2.4	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
	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	2.11	Basement flooding	Facilities Manager	4	4	16	Flood barrier protection to prevent ingress			Medium	Medium

34.2. All BPI employees must be trained to carry out internal ISO 9001 and ISO 27001 audits. Both current employees are also trained in Lean Six Sigma Green Belt.

35. Business Process Improvement activities in 2015-16

35.1. **Maintain ISO 9001:2008 (quality management system) certification and increase quality control activities. Working toward migration to ISO9001:2015**

35.2. [HCPC Risk Register reference: 2.3 & 9.1]

35.3. Business Process Improvement aim to undertake an average of one audit every month over 2015-16. This will be a combination of departmental process audits, risk based audits, multi-department audits and supplier audits.

35.4. Near Miss Reports may substitute for departmental audits, if applicable.

35.5. 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. Preventive Action is likely to be removed as a requirement, with increased reliance on Risk Management. 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. Until the standard is finalised it is not possible to exactly define the scope of the work required.

35.6. 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.

35.7. Two external audits by British Standards Institute (BSI) are due to take place in the financial year.

35.8. BSI’s 2 day external audit in April 2015 will include:

35.8.1. Management System key controls

- Any actions/observations raised in previous reports;
- Management review – agendas/minutes to be available for sampling at random ;

- Internal audits – procedure, schedule and reports to be available for sampling at random ;
- Customer feedback and complaints – procedures (control of non-conforming product and corrective action procedures), records/details to be available for sampling at random ;
- Process performance data (information arising from key process checks) ;
- Reporting and analysis ;
- Trends identified and improvement opportunities noted ;
- Risks/planning for change (preventive action procedure may be required) ;
- Corrective actions taken as a result of any of the above ;
- Quality policy and objectives;
- Document and record controls.

35.8.2. **Communications:** Social Media; Stakeholders; Publishing; Web & Digital; Internal Communications; Events.

35.8.3. **Fitness to Practice** : Adjudication; Administration; Assurance & Development; Case Support; Compliance; Investigations; Case Teams 1-5 - random sampling of processes; Case Teams 6-7 random sampling of processes .

35.9. BSI's 2 day external audit in October 2015 will include:

35.9.1. **Work environment and infrastructure / facilities management**

35.9.2. **Registrations** :CPD; Operations; Quality Assurance

35.9.3. **Information Technology:** Infrastructure; Service Support;

35.9.4. **Secretariat:** Customer Services; Information Governance; Council Processes.

35.10. The 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 will also examine any data issues arising from reporting activities, or Near Miss Reports.

- 35.11. The BPI team will co-ordinate with other areas of assurance work around HCPC (Registrations, Education, FTP) to ensure consistency of approach and statistical support for our activities.
- 35.12. **Improve HCPC's information security and prepare for ISO 27001:2013 (information security) certification**
- 35.13. [HCPC Risk Register reference: 2.1, 5.3, 15.7, 17.2, 17.5, 17.7] (Note some Information Security risks have been renumbered)
- 35.14. The ISO 27001 standard was substantially revised in 2013. We are now finalising work for initial ISO 27001 certification. Paperwork has been minimised to avoid creating a wide audit target.
- 35.15. It is anticipated that the stage 1 audit will be carried out by BSI in the Q4 2014-15 and stage 2 in Q1 2015-16 provided no major uncontrolled risks are located.
- 35.16. It should be noted that work on increasing security (outside the ISO27001 process) will continue. This is necessarily ad-hoc and reactive for the most part, outside any budgeted projects. This includes discrete work with other departments, contractors and suppliers.
- 35.17. **Purchase information security awareness training software for employees, contractors, partners and Council/Committee members.**
- 35.18. [HCPC Risk Register reference: 2.1, 5.3, 15.7, 17.2, 17.4, 17.5, 17.7] (Note some Information Security risks have been renumbered)
- 35.19. 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.
- 35.20. 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.
- 35.21. 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.
- 35.22. Additionally, small scale internal training resources for use around the organisation will be produced in house.
- 35.23. New employees and contractors will be asked to complete a small internally designed Information Security for new starters

- 35.24. Specific training around ongoing risk assessments of information security assets will be required for risk owners.
- 35.25. An ongoing programme of risk assessment around the organisation must be established, with a minimum frequency of an annual cycle. (6 monthly is better.)
- 35.26. **Maintain business continuity (disaster recovery) readiness**
- 35.27. [HCPC Risk Register reference 2.1, 2.5, 17.7]
- 35.28. 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.
- 35.29. HCPC's hardcopy business continuity plan is now available via the on line service Shadow Planner from our existing Disaster Recovery / Business Continuity vendor. This service avoids the requirement to have hardcopy of the plans available at all times, and improves our flexibility to different scenarios. The first Business Continuity test will take place with this technology, this financial year. Some hardcopies of the plan will be retained at the Disaster Recovery site, and other locations, as back up.

36. Equality and diversity within Business Process Improvement

- 36.1. Equality & Diversity processes are monitored within Quality audits and we will continue to scrutinise all processes and sampled work to identify and where possible assist in mitigation of any adverse impact to some groups compared to others.

37. 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. Ad-hoc internal efforts	Up to £15,000
3.	Selective archive destruction	Carton and content secure destruction at Mine site.	£3.61 per carton at Deepstore
4.	Reporting & Assurance technology	Software for analyzing statistical data using Anova algorithm	£1000 per seat. 2 required in BPI
5.	Document Control	Delivering a document control tagging solution for Word, Excel	Up to £5000
6.	Ad-hoc Information Security enhancements as required by adhering to the standard	Replacement transit cases, exact requirements to be refined, by user departments; other items as determined by Stage 1 & Stage 2 BSI audits for ISO27001	

38. Certification within Business Process Improvement

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

Course or certification required	No. of people required with this qualification within BPI	Current people with qualification within BPI	Minimum additional training required with existing resource
ISO 9001 internal auditor (required)	2	2	0
ISO 9001 lead auditor (required)	1	1	0
ISO 27001 internal auditor (or ISO9001 internal auditor plus CISMP) (required)	2	2	0
ISO 27001 lead auditor (required)	1	1	0
Certificate in Information Security Management Principles (CISMP)	1	2	0

Practitioner Certificate in Information Risk Management (desirable for ISO 27001)	1	1	0
Lean Six Sigma Green Belt certification (desirable for Assurance auditing)	1	2	0

38.2. This combination of taught skills and certifications, along with a level of business analysis enables the BPI department to work across the whole of HCPC in various capacities. We will aim to ensure capability is maintained, by aiming slightly above the minimum level of training required

39. Business Process Improvement activities in 2013 - 14

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

39.1.1. [Risks 2.3, 9.1 Quality Management]

39.1.2. HCPC's ISO9001: 2008 quality management system has been audited by BSI in May and November 2014 and continues to meet the ISO 9001 standard. At the November audit it was determined that UKAS would require HCPC to be audited for 4 days per year, as opposed to two days per year.

39.1.3. Business Process Improvement averaged an internal audit every month over 2014-15 through a combination of departmental audits, risk based audits, multi-department audits and Near Miss Reports. Information Security audits were also carried out at potential supplier sites. Some ISO 9001 audits delivered leads for Assurance auditing work.

39.1.4. Notable new processes developed in 2014-15 include "Statutory Regulation – Process for Introduction", a model for professions seeking statutory regulation, now used as a reference within government. Communications processes are being updated. Registrations department processes have been refreshed in part.

39.2. Improvement to Quality Management System software

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

39.2.2. Although the service to place HCPC's Quality Management System on the BSI Entropy has commenced, the migration has been delayed by difficulties in obtaining the required resource at the supplier, and data migration.

39.3. ISO27001 standard

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

39.3.2. The creation of an ISO27001 Information Security Management System (ISMS) with our existing Quality Management System is ongoing and will be compatible with latest version of ISO27001. Documentation was signed off by EMT in February 2015. Some of this documentation is not public.

39.3.3. A presentation to all employee meetings around “Information classification and how to protect it” was made in February 2015.

39.4. Selection and purchase of enhanced statistical reporting tools

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

39.4.2. HCPC currently use a combination of Excel, Crystal Reports and DBVisulizer to extract and report on trends in data. Minitab using the Anova algorithm was used during Six Sigma training and was determined to be a very useful tool.

39.4.3. The Registration dept project to look at new registration IT systems will require a complete refresh of the reporting processes and software sometime in the future. Work has begun to document key company and departmental reports, to ensure they can be replicated from any new system that is procured or developed.

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

39.5.1. [Risks 2.1, 2.5, Business Continuity]

39.5.2. HCPC have used 3 days of Business Continuity testing at Uxbridge, addressing a potential scenario for the IT department. A further business test will take place at a separate time and place.

39.5.3. vsRISK in support of the ISO27001 project

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

39.5.5. This system is used 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. The programme has been upgraded, and is being moved to a server based installation, away from a

laptop. This will make IT management of the application fit into a more standard model.

40. Additional major items undertaken

- 40.1. Business Process Improvement have also been involved in the following major items.
- 40.2. 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.
- 40.3. Commenced small test of encryption processes for Registration (and potentially FTP) Partners, was carried out by the Registrations CPD team. End user device encryption is current difficulty. Transferring passwords correctly was one of the difficulties determined during the trial..
- 40.4. 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. Supplier sites have been security audited.
- 40.5. Input to departmental restructure, Information Service Manager > Quality Compliance Auditor roles; recruitment and training.
- 40.6. Providing ad-hoc advice on Information Security for projects around the organisation
- 40.7. The tender process for Registrations department printing has recommenced. Input and scoring for the Security Print procurement effort in the Registrations department.
- 40.8. Increasing 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.
- 40.9. Input to IT department project to increase the security of network printing within HCPC
- 40.10. All employee presentation on Classification of Information Assets (a knowledge required by ISO27001) was made in February 2015
- 40.11. HCPC rolled out a Tidy Desk policy. This was supported by a “Deskie” competition, to encourage tidy desks within the office, and protect sensitive information.

- 40.12. Risk Assurance mapping training carried out at Chartered Institute of Internal Auditors (RD)
- 40.13. Lean Six Sigma Green Belt training to certified level, enabling improved scientific approach to assurance sampling and measurement. (RD & KB)
- 40.14. Quality Compliance Auditor, training and development plan
- 40.15. Support IT department in the ISO27001 process
- 40.16. Data extracts for CPD feedback campaign for Policy & Standards Department
- 40.17. Data extracts for Communications Department mailing
- 40.18. Data extracts for Registrations Department identity and qualifications work with NHS Protect.
- 40.19. Multiple specific data extracts for Partners Department for prospect mailings

41. Risks managed by the Business Process Improvement Department

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2015	RISK score after Mitigation Jul 2014
	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	2.12	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

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2015	RISK score after Mitigation Jul 2014
9	Quality Management	9.1	Loss of ISO 9001:2008 Certification Links to 2.3, 10.3	Director of Operations, Head of Business Improvement	4	3	12	Regular & internal audits	QMS standards applied across HCPC	Management buy-in	Low	Low
	Quality Management	9.2	Employees non-compliance with established Standard Operating Procedures	EMT	5	2	10	Culture, follow procedures and report errors	Standard Operating Procedures and prevention of overwriting systems	Extend ISO systems as required	Low	Low

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations Jan 2015	Likelihood before mitigations Jan 2015	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation Jan 2015	RISK score after Mitigation Jul 2014
	Information Security	17.2	HCPC 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
	Information Security	17.7	Incorrect risk assessment of Information Assets	Hd of Business Process Improv & Asset Owners	4	2	8	Identification and collection of information risk assets	Regular audit and review of information risk assets by Hd of BPI	Regular identification and review of information risk assets by Hd of BPI	Low	New
	NEW Information Security	17.8	Loss of personal data by an HCPC Contractor or Partner providing application support in the performance of their support services (specific risk).	Director of IT and Director of Operations, Director of Education, Director of Fitness to Practice	5	3	15	Access to and export of personal data is restricted to only that which is necessary for the performance of the services.	Effective system processes including secure data transfer and remote access granted only on application and through secure methods.	-	Low	