Audit Committee, 20 March 2014

Business Process Improvement Report

Executive summary and recommendations

Introduction

The report sets out the main activities of the Business Process Improvement Department since the last meeting of the Committee. It highlights key work undertaken.

Decision

The Committee is asked to discuss the report.

Resource implications

None

Financial implications

The resources for the Department are set out in the annual workplan and budget 2013-14.

Appendices

Business Process Improvement Report

Date of paper

10 March 2014

Business Process Improvement: Mr Roy Dunn

1. Human resources
The Information Service Manager retired in February.
A new role of Quality Compliance Auditor will be recruited for as soon as possible covering an adjusted range of tasks.

A Business Analyst will be recruited into the Operations area in the new Financial year.

2. Quality Management System (QMS) review meetings, internal audits and Near Miss Reports (NMR).
The internal audit schedule for 2013 – 14 is running.

Two further NMR's (non-conformance incidents) have been declared. One report has been completed.

3. QMS process updates
A review of the UK Registrations process is about to begin. There are likely to be some changes to the tendering & procurement processes over the next few months. Council member recruitment process and Independent prescribing have been drafted. A "Commons Health Committee process" is being drafted.

We will be moving the Quality Management System to an externally hosted system with assistance from BSI in the coming months.

4. BSI audit
BSI Audited the Policy, Registrations UK applications and employee training, HR and Partners areas on 7th October 2013. No areas of non conformance were found. The report will go to this Audit Committee.

The April/ May 2014 audit will include;
- Management System Organisation and Review,
- International Registrations,
- Work Environment & Infrastructure (Facilities & IT).

The HCPC QMS / ISMS will be migrated to the new BSI platform as soon as possible. We are awaiting costs and timescales.

5. Business continuity
A Business Continuity test was carried out with members of the CDT in November. A specific scenario was created around EMT being unavailable and damage to buildings following flooding relating to poorly capped test boreholes for the extension to the Northern Line.

Monthly employee details will continue to be circulate whilst the move to an upgrade electronically delivered plan progress.

6. Information security management
The security training CBT package for all employees, is being used by the organisation, with periodic invitations to undertake the specific modules.

Partners and Members area being trained on information security using the CBT package used by employees last year, plus at refresher and partner training events.

Adjustments to how documents are printed around the organisation are being evaluated, and security improvements

Date	Ver.	Dept/Cmte	Doc Type	Title		Status	Int. Aud.
20140320	a	QUA	RPT	AuditComm		Draft	Public
						DD: None	RD: None

2

developed. The IT department have seen two possible providers of technology solutions.

A clear desk policy is being consulted on within the organisation. This will form part of the organisations Information Security Management System (ISMS).

The new ISO 27001:2013 standard is being addressed by BPI with the aid of external consultants. We aim to have a full set of documentation for an ISMS by the end of the Financial Year.

7. Information & data management
Assessment and destruction of older archive material: an update on progress.
The Registrations department and the Information Services Manager attended the DeepStore mine in February to examine cartons over a wide date range.

We will also be discussing with the Communications and Fitness to Practise Departments their individual requirements.

Freedom of Information requests of a statistical nature continue.

The Registrations department are examining methods to scan new application documents, store the documents temporarily, and destroy them once a validated scanned image has been saved to the application or registration record in NetRegulate.

This will save growth in hard copy storage requirements, and improve security.

8. Reporting
Some changes to how security is implemented around the Crystal Reports database, have required changes to existing reports. Those of an operational nature are being addressed first. Upgrades to the NetRegulate (Registrations system) application have been made which may impact reporting in the short term.

9. Risk Register
The next iteration will be published in March 2014 following updates over December and January.

One risk remains high post mitigation. Six risks remain at medium post mitigation.

10. Print Tender
The tendering process for the security print contract PQQ has been published and responded to. The ITT stage has been completed, but only one of six potential responders provided a response, and this was invalid.

A report will be sent to Council shortly.

We will continue with our existing supplier in the interim.