

# Operations Directorate Management Information Pack

Greg Ross-Sampson, Director of Operations  
December 2014

## **1. Executive Summary**

### **1.1 Registration**

#### **1.1.1 UK Telephone Calls**

The team received a total of 52,461 telephone calls which is 3,699 less calls when compared to the same period two years ago and represents a 6.6% decrease in call volumes.

#### **1.1.2 UK Applications**

The team registered 6,532 UK applications which is 1,166 less when compared to the same period last year and represents a 15.1% decrease.

#### **1.1.3 International Applications**

The team registered 619 applications which is 289 more when compared to the same period last year and represents a 87.6% increase.

#### **1.1.4 UK Emails**

The team responded to 220 emails per day which is 30 more when compared to the same period two years ago and represents a 15.8% increase in UK email volumes.

#### **1.1.5 Registration Renewals**

As at the 17 November 2014 84.1% of social workers and 90.9% operating department practitioners have renewed their registration.

### **1.3 Business Process Improvement**

#### **1.3.1 Audits & Processes**

Our external ISO 9001 auditor, BSI, audited Education, HR and Secretariat on 4 November. No non conformances were found.

#### **1.3.2 ISO27001 & Business Continuity**

System developments continue at an IS policy and database level.

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**Health and Care Professions Council**

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**Operations Directorate**

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## 2.1. Operational performance 1 August to 31 October 2014

### a) Telephone calls

*The Registration Department aims to answer 95% of all telephone calls.*

**i) UK telephone calls** – During the period from 1 August to 31 October 2014 the team received a total of 52,461 telephone calls which is 3,699 less calls when compared to the same period two years ago and represents a 6.6% decrease in call volumes. The team answered 95.3% of calls received compared to 94.3% during the same period two years ago.

**ii) International telephone calls** – During the period from 1 August to 31 October 2014 the team received a total of 2,236 telephone calls which is 208 more than the same period last year and represents a 10.3% increase in call volumes. The team answered 96% of calls received compared to 97.3% during the same period last year.

### b) Application processing

#### i) UK applications

*The Registration Department aims to respond to all UK application requests 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**.*

A total of 6,751 new applications were received which is 1,279 less when compared to the same period last year and represents a 15.9% decrease in UK application volumes. The team registered 6,532 UK applications which is 1,166 less when compared to the same period last year and represents a 15.1% decrease. The team processed all UK applications within ten working days.

#### ii) Readmission applications

*The Registration Department aims to process all **complete** readmission applications within ten working days.*

The team processed all readmission applications within ten working days.

#### iii) An application to return to practise

*The Registration Department aims to process **complete** applications to return to practise within ten working days.*

The team processed all applications to return to practise within ten working days.

#### iv) International applications

*The Registration Department aims to verify completeness of all International applications and acknowledge receiving the application within five working days of receipt.*

*The Registration Department aims to process **complete** applications within 60 working days of receipt.*

A total of 1,158 new applications were received which is 307 more when compared to the same period last year and represents a 36.1% increase in international application volumes. The team registered 619 applications which is 289 more when compared to the same period last year and represents an 87.6% increase.

The team acknowledged receipt of applications within three days on average during this period for both Non EEA and EEA applications. The team are currently processing Non EEA applications within 26 working days of receipt and EEA applications within 22 working days of receipt.

#### **v) Grandparenting applications**

*The Registration Department aims to verify completeness of all Grandparenting applications and acknowledge receipt of the application within five working days.*

*The Registration Department aims to process **complete** applications within 60 working days of receipt.*

There are currently no grandparenting applications outstanding and as there is currently no opportunity to apply by this route to the Register, no further updates will be provided to Council within the Operations Directorate Report.

#### **c) Emails**

*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) UK emails** - The team responded to 220 emails per day which is 30 more when compared to the same period two years ago and represents a 15.8% increase in UK email volumes.

The team responded to 96.1% of these within one working day.

**ii) International emails** – The team responded to 27 emails per day which is 17 more when compared to the same period last year and represents a 170% increase in international email volumes.

The team responded to 91.2% of these within one working day.

#### **d) Continuing Professional Development (CPD) audit**

*The Registration Department aims to acknowledge receiving the CPD profile application within five working days of receipt.*

*The Registration Department aims to process a **complete** CPD profile within 60 working days of receipt.*

A total of 416 CPD profiles were received during this period which were acknowledged within five days and all complete CPD profiles were processed within 60 working days of receipt.

There were two CPD assessment days held during this period.

**e) Registration renewals**

*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 ten working days of receipt.*

At the start of September 2014 90,794 social workers in England and 11,983 operating department practitioners were invited to renew their registration and registrants have until 30 November 2014 to complete their professional declaration and pay their fee. As at the 17 November 2014 84.1% of social workers and 90.9% operating department practitioners have renewed their registration.

All complete paper renewal forms have been processed within ten working days of receipt.

**f) Postal correspondence**

*The Registration Department aims to process postal correspondence within ten working days.*

The team processed postal correspondence within seven working days of receipt, on average.

**2. Resource**

**a) Employees**

The department operated within its budgeted headcount during this period.



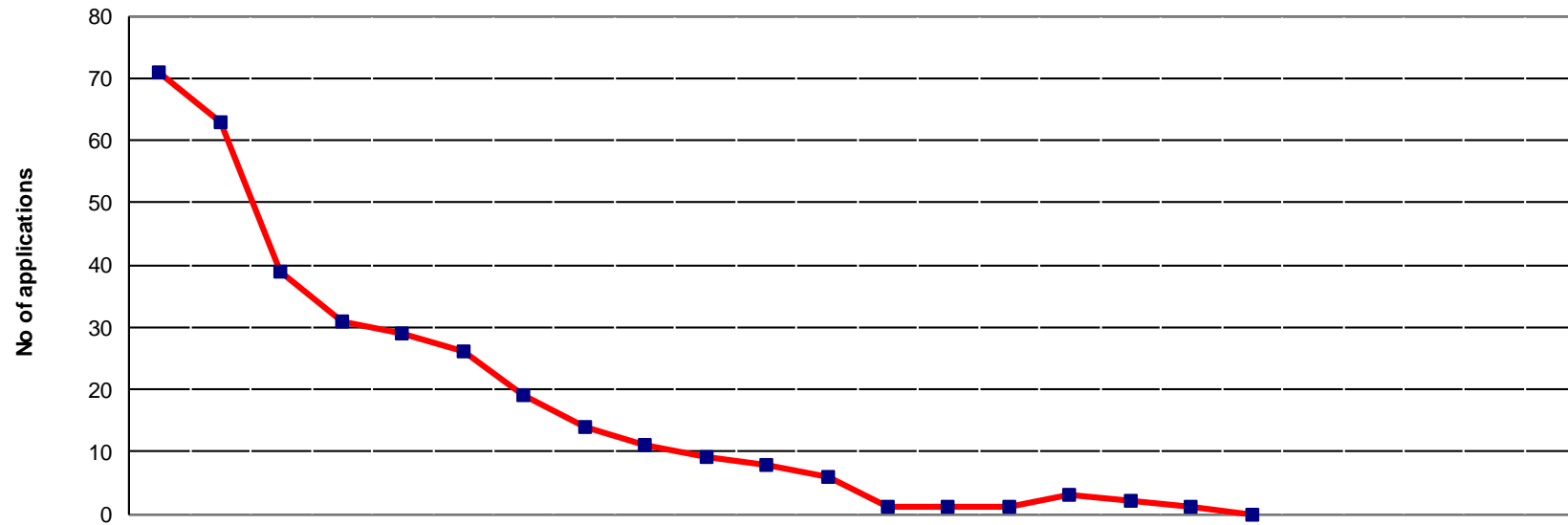


**Health and Care Professions Council**

**Operations Directorate**

**Health and Care Professions Council Grandparent applications workflow process at end of each month April 2013 - March 2015**

**Registration Department**



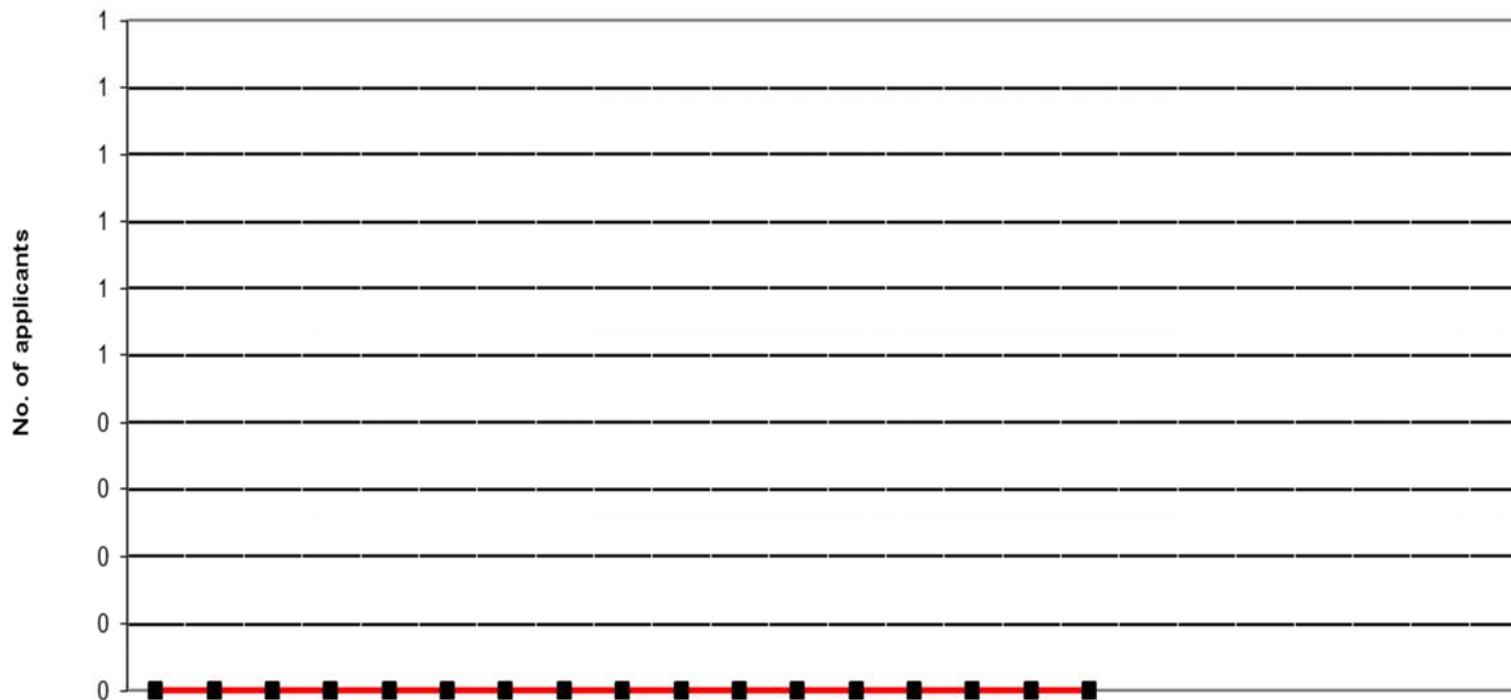
Current status	2013			2014									2015									12/13	13/14	14/15				
	Apr	May	Jun	Jul*	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	YTD	
Minimum info	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
At scrutiny	47	40	31	28	26	22	16	11	8	5	6	5	1	1	1	3	2	1	0									1
Pending reg fee	23	22	8	3	3	4	3	3	3	4	2	1	0	0	0	0	0	0	0									0
<b>Total</b>	<b>71</b>	<b>63</b>	<b>39</b>	<b>31</b>	<b>29</b>	<b>26</b>	<b>19</b>	<b>14</b>	<b>11</b>	<b>9</b>	<b>8</b>	<b>6</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>									<b>1</b>

**Average** **Average** **Average**

NOTE: Information covers grandparenting applications status progress only  
 Represents the current workload within the grandparenting section as at the end of the month

Health and Care Professions Council New Grandparent Applications Received April 2013 - March 2015

Registration Department



	2013			2014									2015			10/11	11/12	12/13	13/14	14/15										
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	YTD	
Practitioner psychologists *	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	170	142	369	0	0

\* Practitioner psychologists section of register opened 1st July 2009

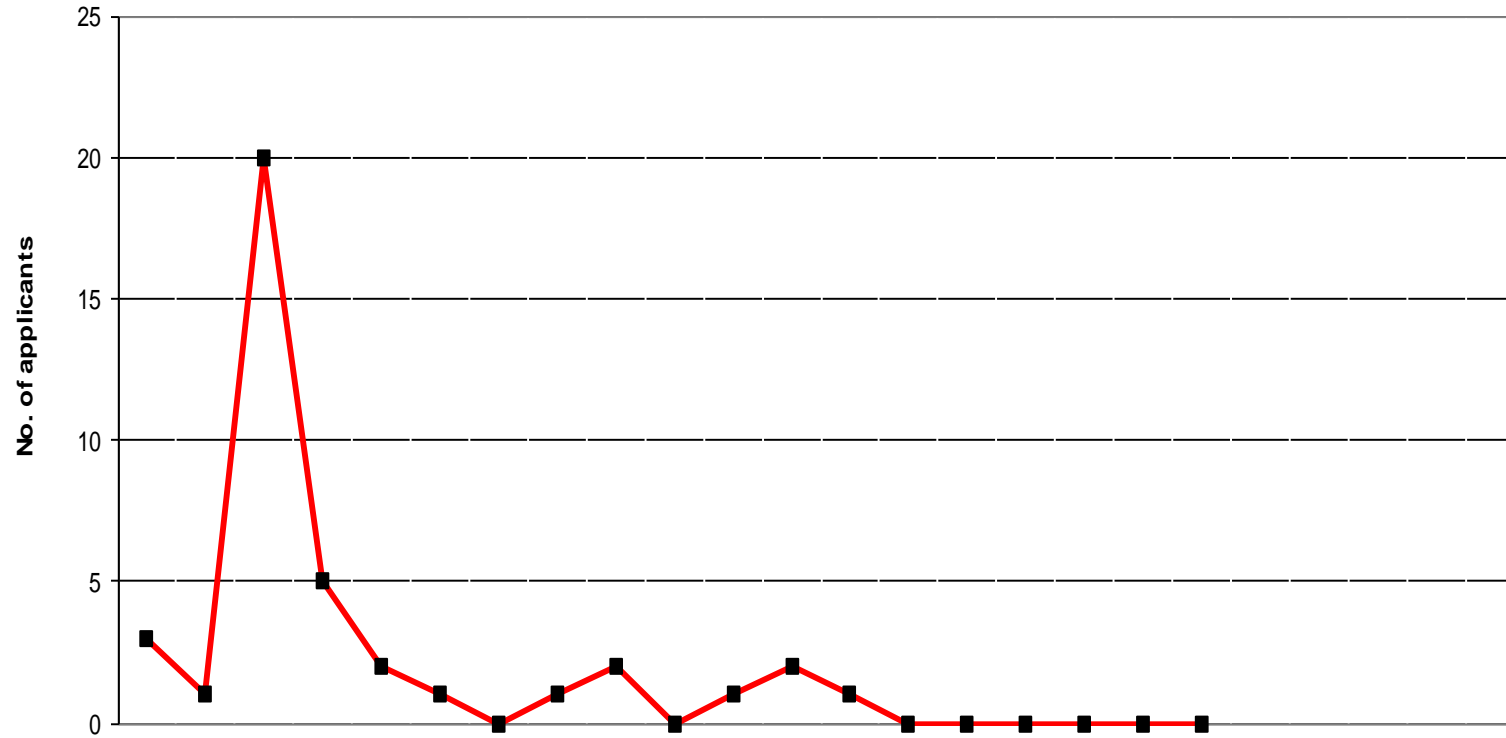
No new forms accepted after delivery of first post 2nd July 2012

**Health and Care Professions Council**

**Operations Directorate**

Health and Care Professions Council Grandparent registrations April 2013 - March 2015

Registration Department



	2013			2014									2015											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Practitioner psychologists *	3	1	20	5	2	1	0	1	2	0	1	2	1	0	0	0	0	0	0	0	0	0	0	0

10/11	11/12	12/13	13/14	14/15
FYE	FYE	FYE	FYE	YTD
96	65	265	38	1

\* Practitioner psychologists section of register opened 1st July 2009

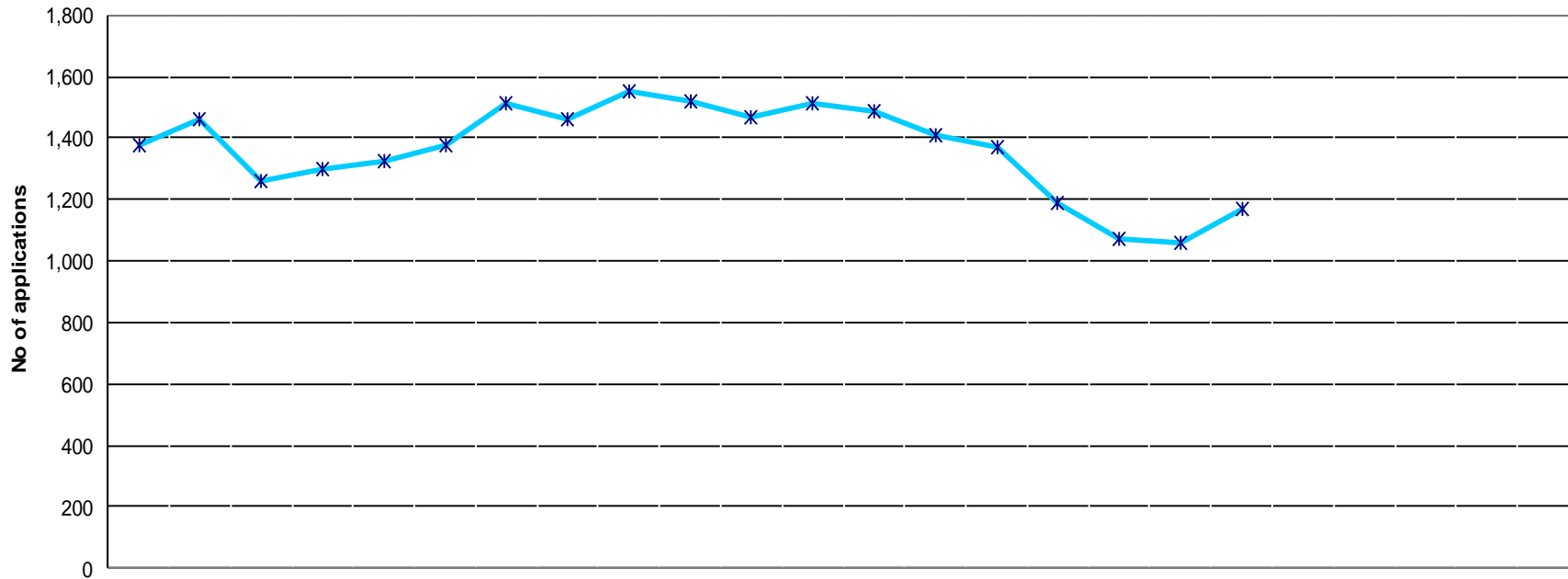
No new forms accepted after delivery of first post 2nd July 2012

# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council International applications workflow process at end of each month April 2013 - March 2015

Registration Department



Current status	2013			2014									2015						11/12	12/13	13/14	14/15							
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD	
Minimum info	301	355	200	279	286	365	201	139	263	258	168	282	354	319	122	147	101	98	140							74	358	258	183
At scrutiny	782	830	784	768	777	741	1,000	984	937	894	869	807	730	785	909	738	743	728	805							490	706	848	777
Pending reg fee	295	275	279	249	259	272	314	338	353	366	428	425	406	307	337	305	225	234	221							187	237	321	291
<b>Total</b>	<b>1,378</b>	<b>1,460</b>	<b>1,263</b>	<b>1,296</b>	<b>1,322</b>	<b>1,378</b>	<b>1,515</b>	<b>1,461</b>	<b>1,553</b>	<b>1,518</b>	<b>1,465</b>	<b>1,514</b>	<b>1,490</b>	<b>1,411</b>	<b>1,368</b>	<b>1,190</b>	<b>1,069</b>	<b>1,060</b>	<b>1,166</b>							<b>751</b>	<b>1,301</b>	<b>1,427</b>	<b>1,251</b>
<b>Average</b>																													

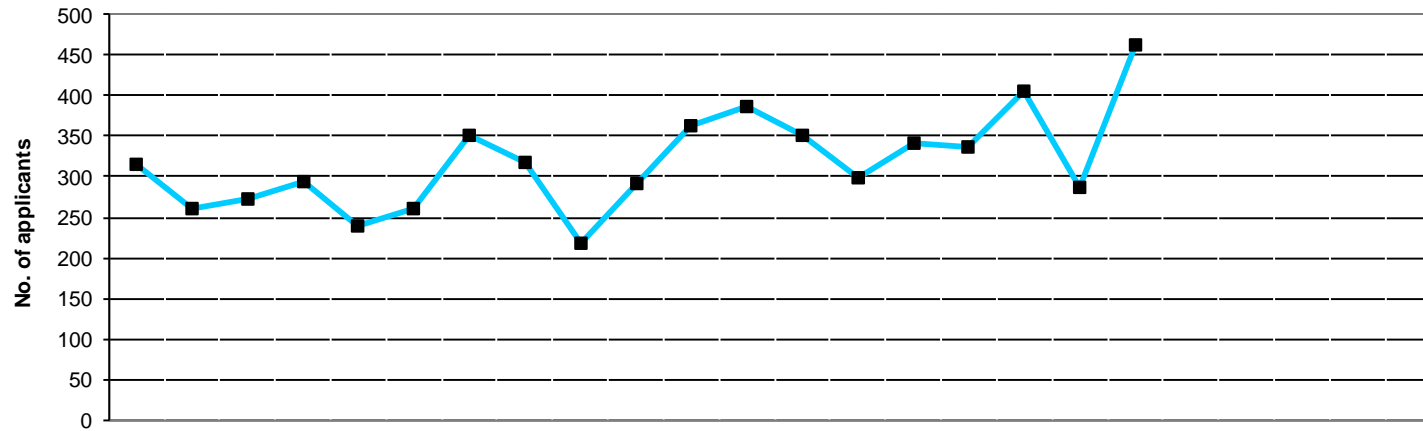
NOTE: Information covers international applications status progress only  
 Represents the current workload within the International Department as at the end of the month

# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council New International Applications Received April 2013 - March 2015

Registration Department



	2013			2014									2015						2008/9	09/10	10/11	11/12	12/13	13/14	14/15								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	FYE	FYE	YTD		
Arts Therapists	0	0	2	4	1	1	2	2	0	3	1	1	4	2	2	0	3	0	2								16	12	23	23	17	17	13
Bio. Scientists	24	18	29	22	16	16	29	37	23	19	29	26	16	21	24	35	31	33	46								307	290	273	197	237	288	206
Chirops/ Pods	1	2	2	3	6	3	2	3	1	0	2	7	2	3	3	4	5	2	7								23	34	25	31	23	32	26
CI Scientists	5	3	6	8	5	6	9	9	7	7	12	13	10	7	9	8	7	3	10								50	61	72	74	86	90	54
Dietitians	22	13	17	16	11	12	12	14	9	23	19	17	17	16	16	8	20	6	15								132	137	139	148	136	185	98
Hearing aid disps	4	2	4	11	1	2	3	0	1	1	0	4	2	3	3	3	3	2	1										6	10	12	33	17
OTs	28	22	27	25	22	34	34	32	22	26	41	37	41	32	34	28	47	28	37								404	340	381	306	320	350	247
ODPs	0	0	0	1	1	3	2	1	1	0	2	1	1	2	2	0	1	0	10								8	10	9	12	15	12	16
Orthoptists	0	0	2	0	0	1	0	1	1	1	0	0	0	0	0	0	0	0	1								3	1	5	4	5	6	1
Paramedics	7	4	7	6	6	10	5	5	4	4	9	11	9	4	9	10	9	8	20								46	50	39	40	58	78	69
Physiotherapists	104	99	80	88	72	71	104	95	49	82	97	110	101	102	117	88	114	77	112								774	745	796	874	879	1,051	711
Pract psychs	17	13	21	21	21	18	22	11	20	21	31	38	26	20	22	36	25	23	41									156	236	188	219	254	193
Prosth/Orthotists	1	0	1	0	0	0	0	0	1	0	2	0	0	1	0	1	2	1	1								9	3	10	10	10	5	6
Radiographers	40	24	30	43	35	33	52	40	34	30	45	47	51	43	43	38	45	40	64								364	312	417	397	336	453	324
Social workers	49	45	35	33	24	31	52	47	22	51	52	60	56	32	44	62	68	47	73												301	501	382
SLTs	14	16	10	14	19	20	22	22	24	23	20	15	16	10	13	17	27	17	24								154	173	166	190	168	219	124
<b>Total</b>	<b>316</b>	<b>261</b>	<b>273</b>	<b>295</b>	<b>240</b>	<b>261</b>	<b>350</b>	<b>319</b>	<b>219</b>	<b>291</b>	<b>362</b>	<b>387</b>	<b>352</b>	<b>298</b>	<b>341</b>	<b>338</b>	<b>407</b>	<b>287</b>	<b>464</b>								<b>2,290</b>	<b>2,324</b>	<b>2,597</b>	<b>2,504</b>	<b>2,822</b>	<b>3,574</b>	<b>2,487</b>

All received applications, including those that may subsequently be returned, rejected or withdrawn.

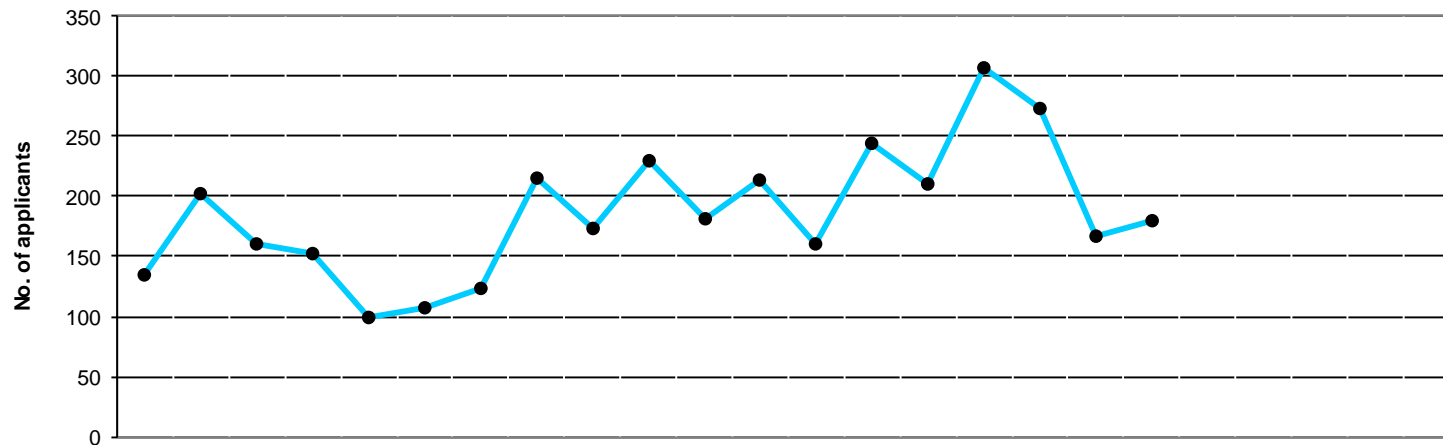
# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council

International Registrations April 2013 - March 2015

Registration Department



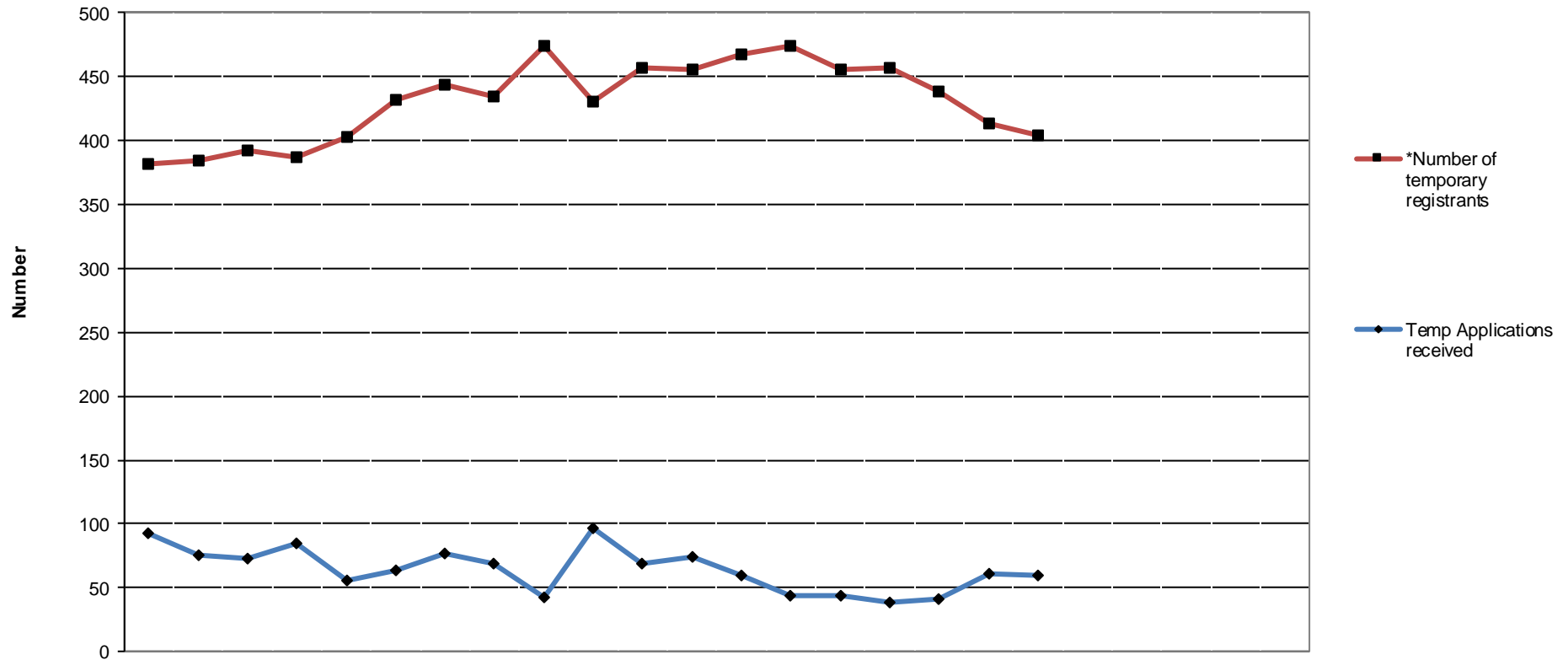
	2013			2014									2015			2008/9	09/10	10/11	11/12	12/13	13/14	14/15											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	FYE	FYE	YTD		
Arts therapists	2	0	1	0	0	1	0	1	2	0	1	0	0	0	2	1	1	2	2								6	4	15	10	14	8	8
Bio. scientists	16	13	9	16	7	1	7	3	33	20	18	14	27	9	19	17	18	18	13								236	162	202	122	154	157	121
Chirops/ pods	1	2	2	1	2	0	1	2	3	3	1	2	1	1	2	0	6	5	2								27	15	17	16	15	20	17
CI scientists	2	1	2	2	2	0	5	1	3	4	3	5	5	4	0	7	3	1	7								28	22	26	23	34	30	27
Dietitians	4	6	1	12	3	6	5	10	6	12	10	10	7	6	1	32	15	11	3								97	80	88	78	97	85	75
Hearing aid disps	0	0	0	2	0	0	1	1	2	4	3	0	0	0	2	1	10	1	0										4	5	8	13	14
OTs	26	17	25	23	7	10	6	37	17	33	28	30	23	24	20	37	29	11	11								283	255	289	217	249	259	155
ODPs	0	0	2	0	0	0	0	0	1	1	0	0	1	0	3	0	0	0	0								2	5	3	3	1	4	4
Orthoptists	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	1								3	0	1	2	1	0	3
Paramedics	2	2	0	2	0	4	2	4	0	3	5	3	5	2	10	3	2	3	2								22	25	23	20	24	27	27
Physiotherapists	30	105	54	38	37	45	42	85	36	62	50	29	6	140	61	102	77	55	62								608	460	500	463	633	613	503
Pract psychs	9	4	22	8	3	9	10	11	11	24	11	7	11	5	16	15	20	13	14									95	127	91	95	129	94
Prosth/orthotists	0	0	2	0	0	0	1	0	0	0	1	0	0	0	1	0	1	1	0								3	1	6	7	6	4	3
Radiographers	18	24	17	15	14	13	18	33	19	20	6	72	33	14	34	42	36	21	23								336	206	270	216	241	269	203
Social workers*	15	18	18	25	19	15	9	12	25	24	30	22	33	26	24	38	38	21	16												49	232	196
SLTs	10	10	6	9	6	3	16	15	16	19	15	19	8	13	15	12	16	4	23								105	114	130	116	137	144	91
<b>Total</b>	<b>135</b>	<b>202</b>	<b>161</b>	<b>153</b>	<b>100</b>	<b>107</b>	<b>123</b>	<b>215</b>	<b>174</b>	<b>229</b>	<b>182</b>	<b>213</b>	<b>161</b>	<b>244</b>	<b>210</b>	<b>307</b>	<b>273</b>	<b>167</b>	<b>179</b>								<b>1,756</b>	<b>1,444</b>	<b>1,701</b>	<b>1,389</b>	<b>1,758</b>	<b>1,994</b>	<b>1,541</b>

\*Social worker section of register open 1st Aug 2012 (covers England only)

# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council | Temporary Registration under EU Directive 2005/36/EC April 2013 - March 2015 | Registration Department



	2013			2014									2015			11/12	12/13	13/14	14/15										
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD	
Temp Applications received	93	76	73	85	56	64	77	69	42	97	69	74	59	44	44	38	41	61	60							494	524	875	347
*Number of temporary registrants	382	384	392	387	403	432	444	435	474	431	457	456	467	474	456	457	438	413	404							310	417	423	444

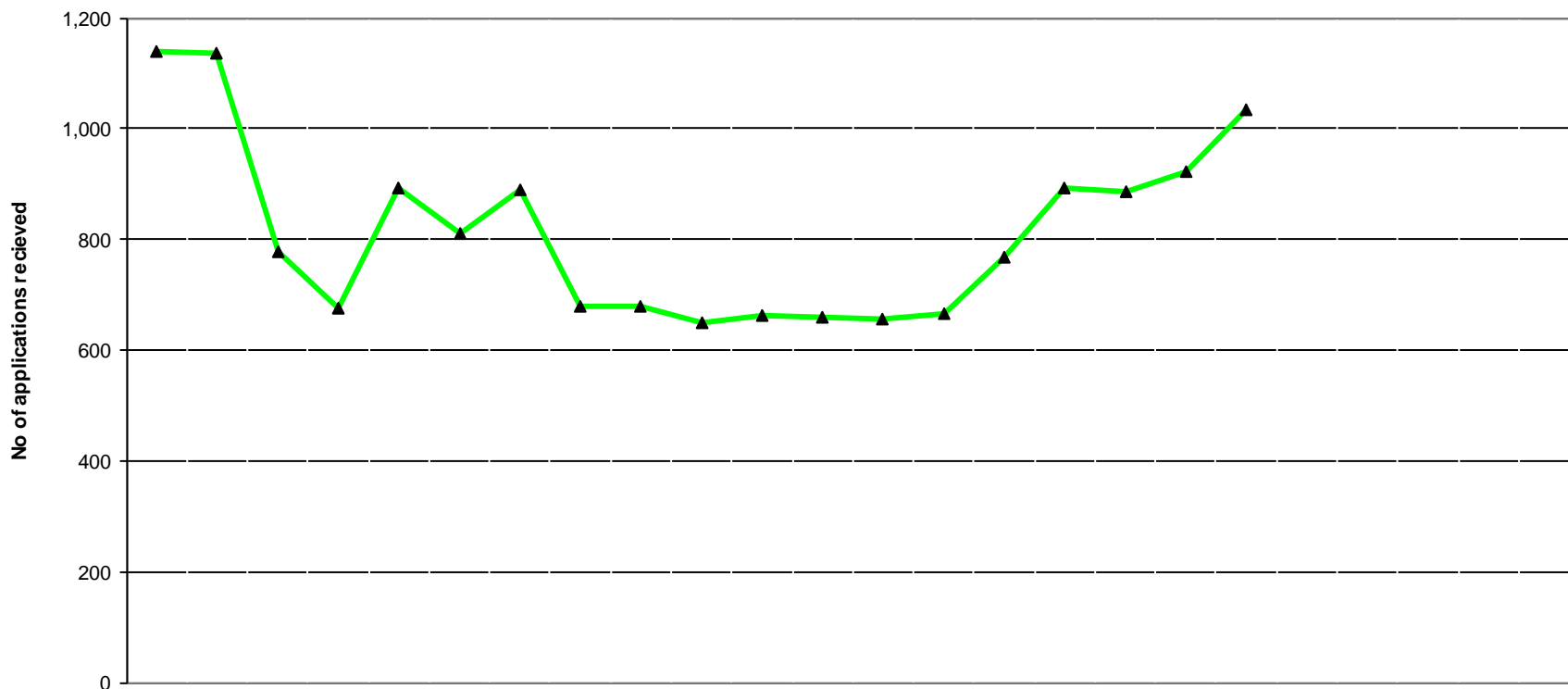
\* FYE figure is an average number of registrants for that year

# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council UK applications workflow process at end of each month April 2013 - March 2015

Registration Department



Current status	2013			2014									2015			12/13	13/14	14/15										
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	YTD	
Minimum info	1,134	1,130	778	674	887	802	882	677	676	650	661	655	656	665	764	886	878	917	1,028							1,195	801	828
At scrutiny	5	5	0	1	7	4	5	1	1	0	0	0	0	0	2	2	4	2	1							6	2	2
Pending reg fee	0	0	0	1	0	6	4	1	1	1	2	3	1	1	2	4	5	3	5							0	2	3
<b>Total</b>	<b>1,139</b>	<b>1,135</b>	<b>778</b>	<b>676</b>	<b>894</b>	<b>812</b>	<b>891</b>	<b>679</b>	<b>678</b>	<b>651</b>	<b>663</b>	<b>658</b>	<b>657</b>	<b>666</b>	<b>768</b>	<b>892</b>	<b>887</b>	<b>922</b>	<b>1,034</b>							<b>1,201</b>	<b>805</b>	<b>832</b>
<b>Average</b>																												

NOTE: Information covers UK applications only  
 Represents the current workload within the UK section as at the end of the month

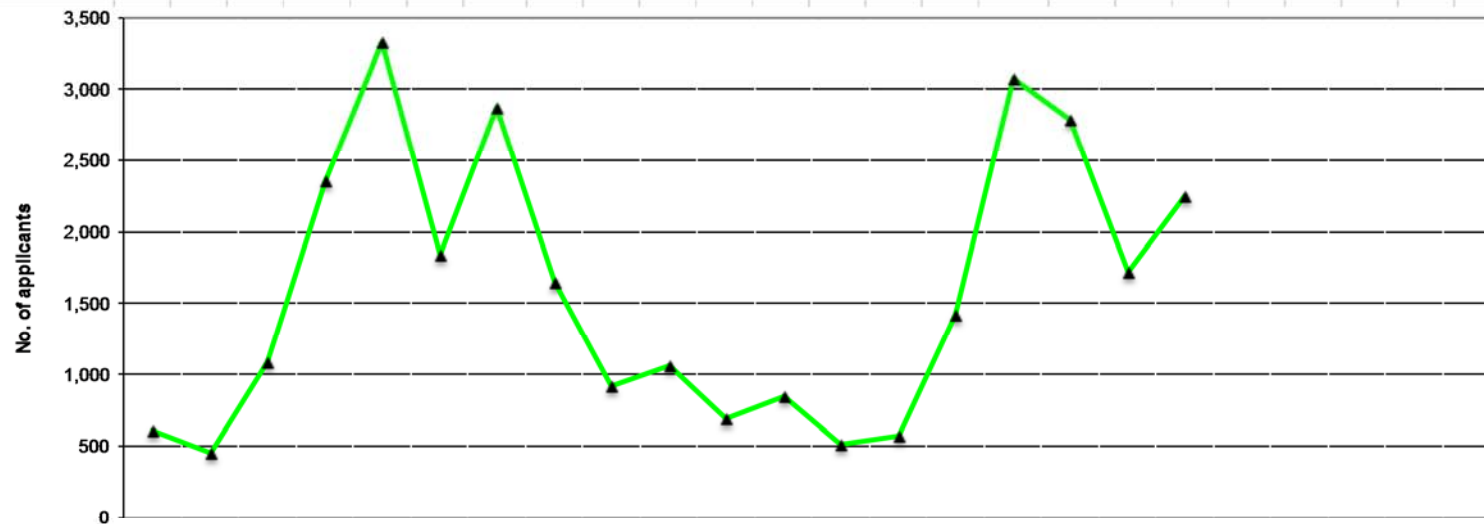


# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council New UK Applications Received April 2013 - March 2015

Registration Department



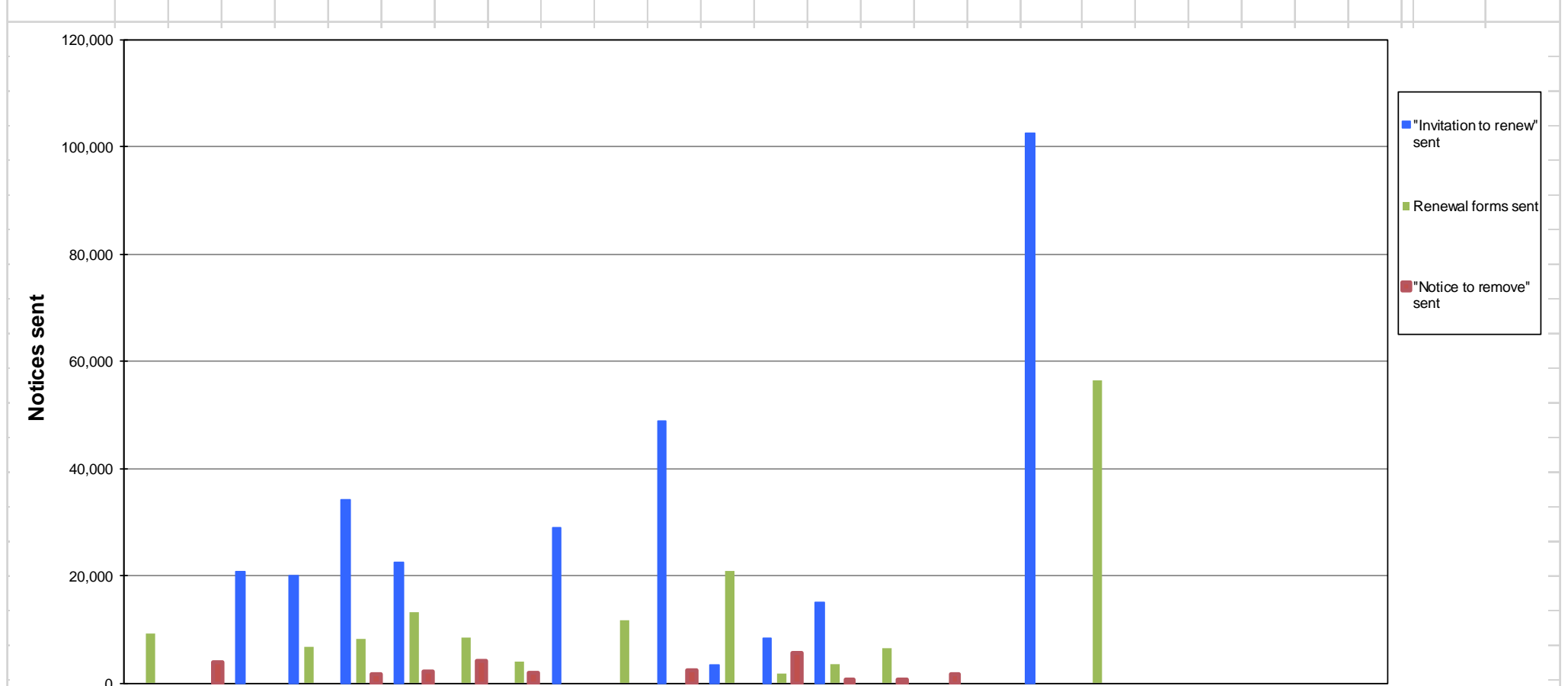
	2013			2014									2015						09/10	10/11	11/12	12/13	13/14	14/15								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	FYE	YTD		
Arts therapists	8	8	13	17	53	44	71	28	13	20	9	9	20	8	8	30	69	48	47							234	257	257	271	293	230	
Bio. scientists	40	32	47	104	134	66	101	84	57	59	48	67	44	48	60	125	134	64	91							831	894	804	746	839	566	
Chirops/pods	1	5	52	98	110	44	43	15	5	6	5	5	2	6	96	120	64	41	33							429	427	362	376	389	362	
CI Scientists	43	21	30	31	32	14	24	45	23	17	18	45	31	21	23	10	35	11	39							218	240	279	224	343	170	
Dietitians	20	7	60	127	115	43	33	15	3	10	7	17	20	15	71	118	67	24	29							444	453	402	444	457	344	
Hearing aid disp	8	2	8	24	60	24	24	14	13	8	15	11	4	14	12	31	48	26	17									1,787	146	227	211	152
OTs	68	41	94	261	445	197	271	152	55	88	68	76	47	41	164	329	347	161	232							1,763	1,720	1,578	1,742	1,816	1,321	
ODPs	30	25	4	7	113	220	190	32	23	21	13	28	30	29	4	36	155	145	112							508	622	686	715	706	511	
Orthoptists	0	0	1	11	29	6	11	5	1	5	1	1	1	0	1	21	26	8	6							46	53	42	61	71	63	
Paramedics	78	59	66	102	144	170	299	77	61	52	65	48	38	37	83	70	160	250	170							1,158	1,163	1,519	1,668	1,221	808	
Physiotherapists	43	36	195	541	513	143	180	108	48	72	56	57	17	30	197	697	336	113	137							2,221	2,026	1,826	1,937	1,992	1,527	
Pract psychs	34	40	55	28	61	71	357	188	67	93	38	51	33	49	40	42	66	135	323							2,138	2,043	1,258	1,202	1,083	688	
Prosth/orthotists	0	0	10	22	17	2	4	2	2	1	2	2	3	0	22	16	8	3	0							37	39	35	51	64	52	
Radiographers	13	16	203	451	302	133	129	60	20	19	21	39	19	49	341	513	175	96	94							1,251	1,221	1,140	1,343	1,406	1,287	
Social workers*	202	150	242	439	1,022	580	1,049	763	496	533	285	338	191	208	247	736	949	531	826										4,395	6,099	3,688	
SLTs	23	6	9	88	171	79	87	64	28	56	35	50	14	18	49	175	145	60	95							759	739	1,019	831	696	556	
<b>Total</b>	<b>611</b>	<b>448</b>	<b>1,089</b>	<b>2,351</b>	<b>3,321</b>	<b>1,836</b>	<b>2,873</b>	<b>1,652</b>	<b>915</b>	<b>1,060</b>	<b>686</b>	<b>844</b>	<b>514</b>	<b>573</b>	<b>1,418</b>	<b>3,069</b>	<b>2,784</b>	<b>1,716</b>	<b>2,251</b>							<b>12,037</b>	<b>13,684</b>	<b>11,353</b>	<b>16,233</b>	<b>17,686</b>	<b>12,325</b>	

\*Social worker section of register opened 1st Aug 2012 (covers England only)

# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council      Renewal Information April 2013 - March 2015      Registration Department

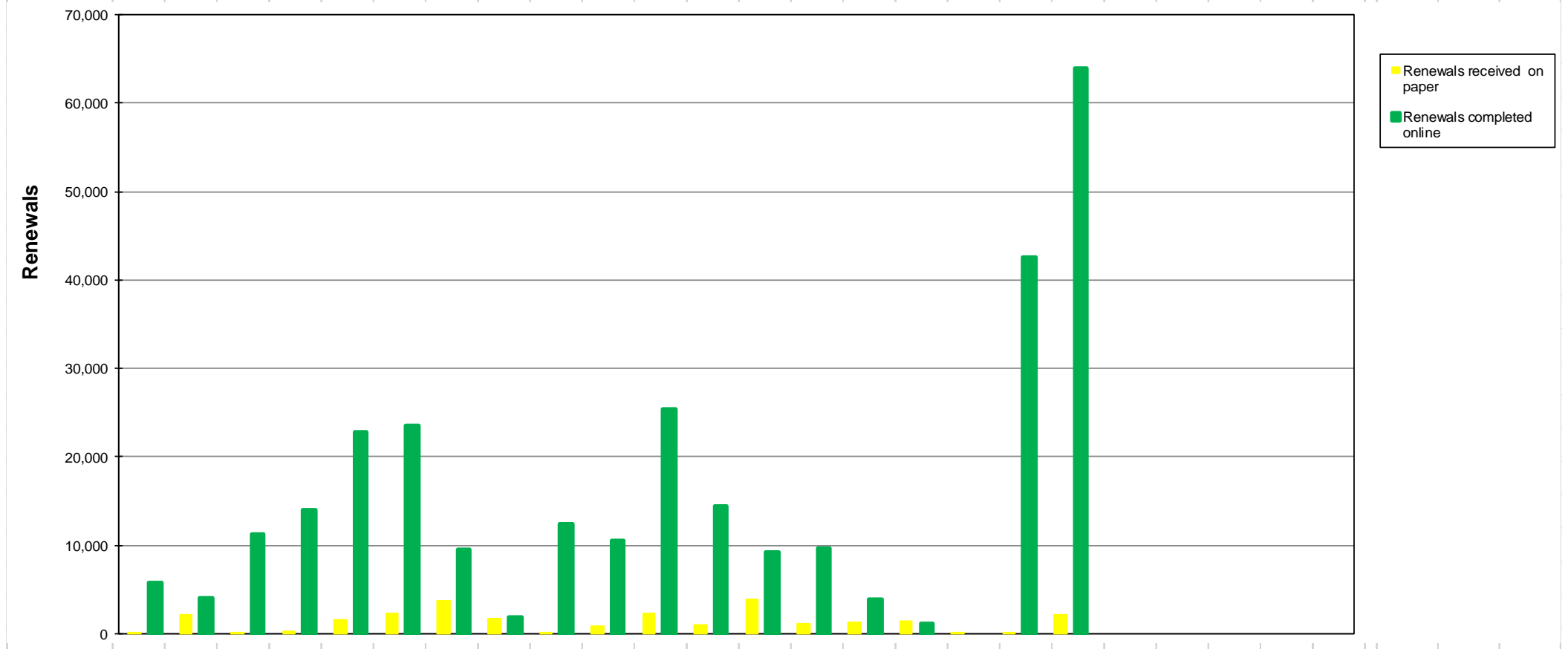


	2013			2014									2015									13/14	14/15				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	YTD	
"Invitation to renew" sent	0	0	20,813	19,960	34,182	22,596	0	0	29,086	0	48,959	3,447	8,370	15,027	0	0	0	102,549	0							187,413	125,946
Renewal forms sent	9,273	0	0	6,799	8,216	13,239	8,454	3,981	0	11,733	0	20,932	1,800	3,628	6,603	0	0	0	56,487							84,427	68,518
"Notice to remove" sent	0	3,857	0	0	1,662	2,227	4,144	1,849	0	0	2,298	0	5,756	650	770	1,775	0	0	0							21,793	8,951
<b>Total</b>	9,273	3,857	20,813	26,759	44,060	38,062	12,598	5,830	29,086	11,733	51,257	24,379	15,926	19,305	7,373	1,775	0	102,549	56,487							293,633	203,415

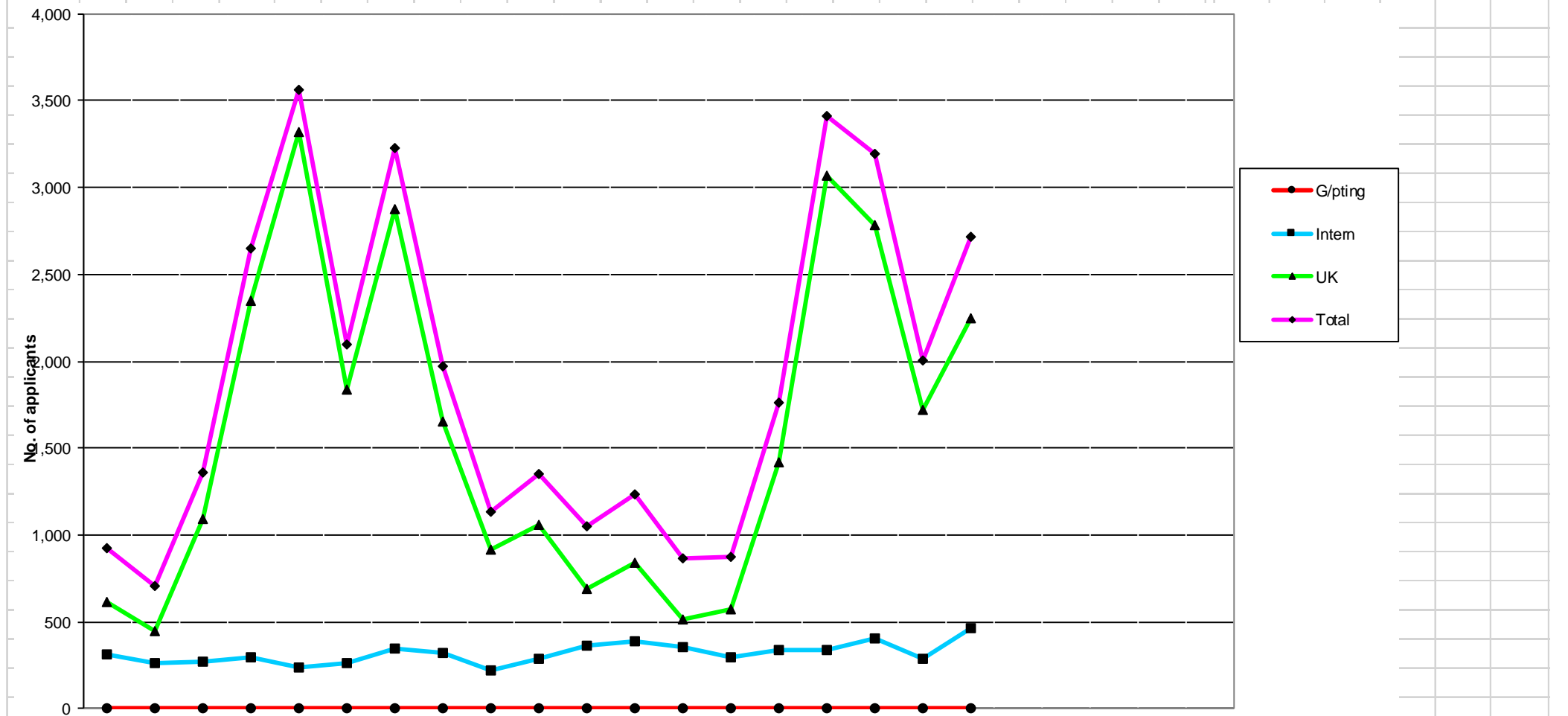
# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council      Renewal Information - on paper and online April 2013 - March 2015      Registration Department



	2013			2014									2015									12/13	13/14	14/15					
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	YTD		
<b>Renewals received on paper</b>	154	2,113	10	290	1,618	2,367	3,773	1,700	156	813	2,347	976	3,923	1,181	1,247	1,422	2	78	2,179								32,892	16,317	10,032
<b>Renewals completed online</b>	5,777	4,055	11,292	13,947	22,820	23,553	9,590	1,818	12,391	10,502	25,451	14,468	9,299	9,740	3,933	1,213	0	42,614	63,942								111,916	155,664	130,741
<b>Registrants removed</b>	0	0	721	0	0	418	0	0	890	0	870	870	0	1,722	257	290	0	0	0								13,863	3,769	2,269



Apps Received	2013			2014									2015			09/10	10/11	11/12	12/13	13/14	14/15								
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	FYE
<b>G/pting</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				93	170	142	369	0	0
<b>Intern</b>	316	261	273	295	240	261	350	319	219	291	362	387	352	298	341	338	407	287	464					2,324	2,597	2,504	2,822	3,574	2,487
<b>UK</b>	611	448	1,089	2,351	3,321	1,836	2,873	1,652	915	1,060	686	844	514	573	1,418	3,069	2,784	1,716	2,251					12,037	13,684	11,353	16,233	17,686	12,325
<b>Total</b>	927	709	1,362	2,646	3,561	2,097	3,223	1,971	1,134	1,351	1,048	1,231	866	871	1,759	3,407	3,191	2,003	2,715					14,454	16,451	13,999	19,424	21,260	14,812

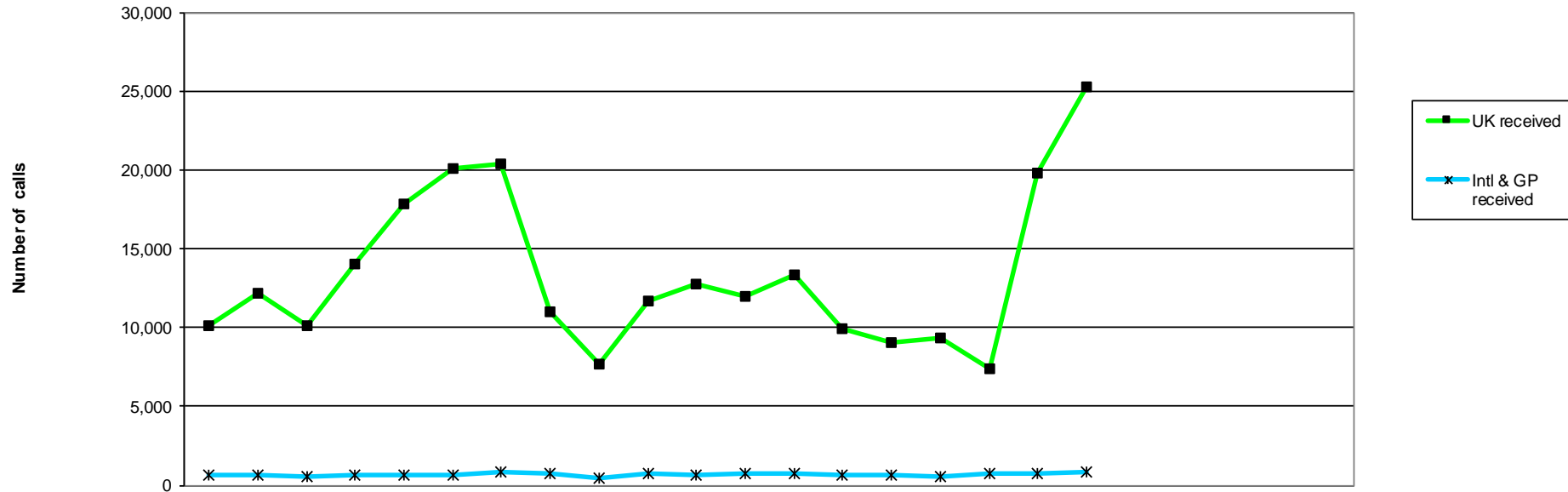
NB The data relates to application forms received, not total fees received.

# Health and Care Professions Council

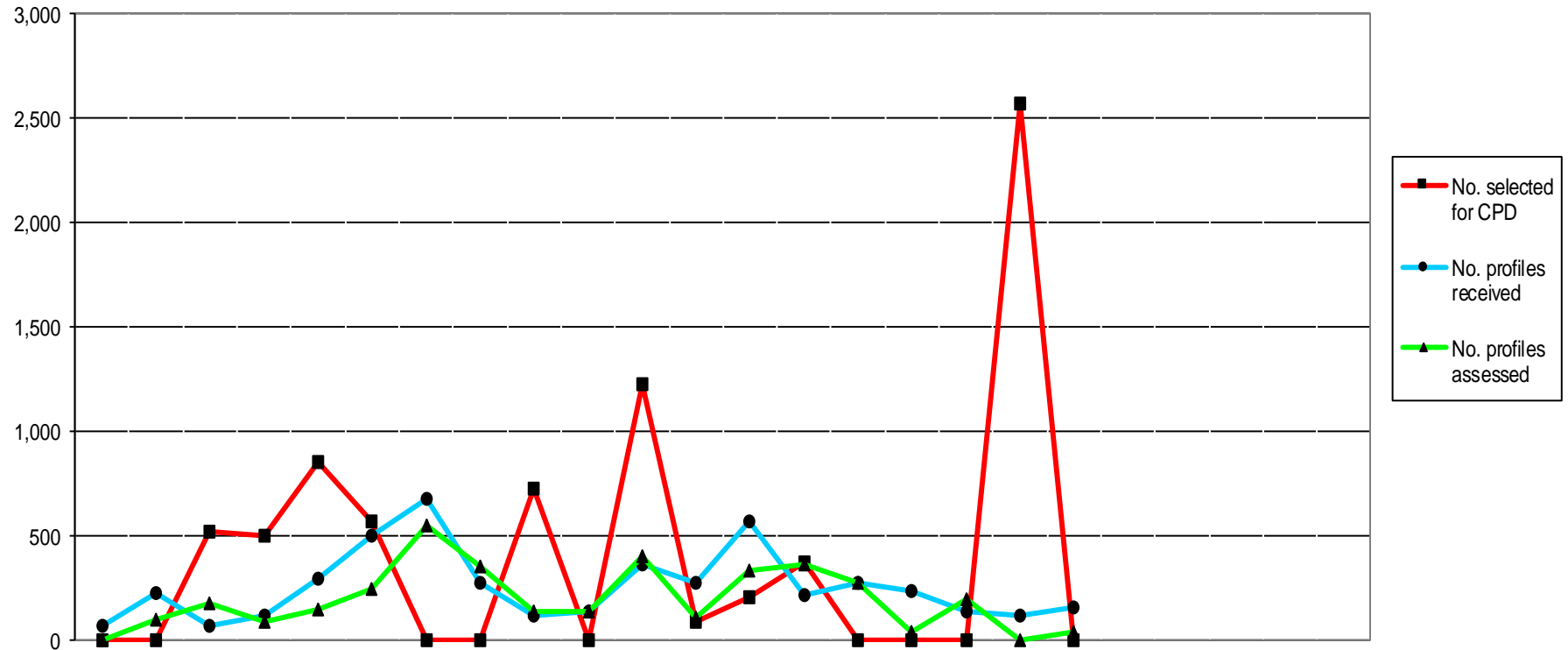
# Operations Directorate

Health and Care Professions Council Registration Telephone Information April 2013 - March 2015

Registration Department



	2013			2014									2015						09/10	10/11	11/12	12/13	13/14	14/15											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	FYE	YTD					
<b>Intl &amp; GP</b>																																			
<b>Intl &amp; GP received</b>	591	620	563	636	589	645	794	703	429	717	619	738	695	619	635	494	694	717	825											14,348	16,702	12,886	8,980	7,644	4,679
<b>Answered</b>	542	561	539	610	571	632	770	677	410	690	601	712	654	595	618	466	675	715	750											14,185	15,969	12,137	8,436	7,315	4,473
<b>Calls answered (%)</b>	92	90	96	96	97	98	97	96	96	96	97	96	94	96	97	94	97	100	91											95	96	94	94	96	96
<b>Abandoned</b>	38	63	24	26	18	13	24	26	3	27	18	26	41	24	17	28	24	2	75											841	712	749	544	306	211
<b>Avg answer time (sec)</b>	60	55	41	32	23	22	31	22	20	27	25	24	39	26	13	24	41	18	35											36	41	49	53	21	28
<b>Avg talk time (min)</b>	4.09	3.49	3.53	3.56	3.47	3.52	3.40	3.40	3.44	4.09	4.12	3.44	4.07	3.55	3.47	3.15	3.53	3.55	3.49											3.18	3.41	3.29	3.85	3.63	3.54
<b>UK</b>																																			
<b>UK received</b>	10,151	12,177	10,138	14,028	17,789	20,043	20,327	10,961	7,645	11,692	12,782	12,012	13,365	9,932	9,052	9,333	7,356	19,833	25,272											19,887	86,890	114,847	177,147	159,745	94,143
<b>Answered</b>	9,421	10,968	9,713	13,181	16,693	18,836	17,810	10,417	7,266	11,036	11,934	11,191	11,947	9,314	8,850	9,093	7,227	19,628	22,455											111,573	83,218	109,818	157,334	148,466	88,514
<b>Calls answered (%)</b>	93	90	96	94	94	94	88	95	95	94	93	93	89	94	98	97	98	99	89											95	96	96	92	93	95
<b>Abandoned</b>	730	1,209	425	839	1,096	1,207	2,517	544	379	656	851	821	1,418	618	202	240	148	124	2,817											8,314	3,652	5,029	19,813	11,274	5,567
<b>Avg answer time (sec)</b>	55	82	37	54	59	56	110	45	42	48	58	56	83	48	20	22	21	36	111											48	36	38	70	59	49
<b>Avg talk time (min)</b>	3.10	3.11	3.02	2.45	2.48	2.55	2.57	3.03	2.59	3.14	3.07	3.04	3.12	3.14	3.05	3.02	2.58	3.03	3.09											2.37	2.47	2.61	3.28	2.85	3.00



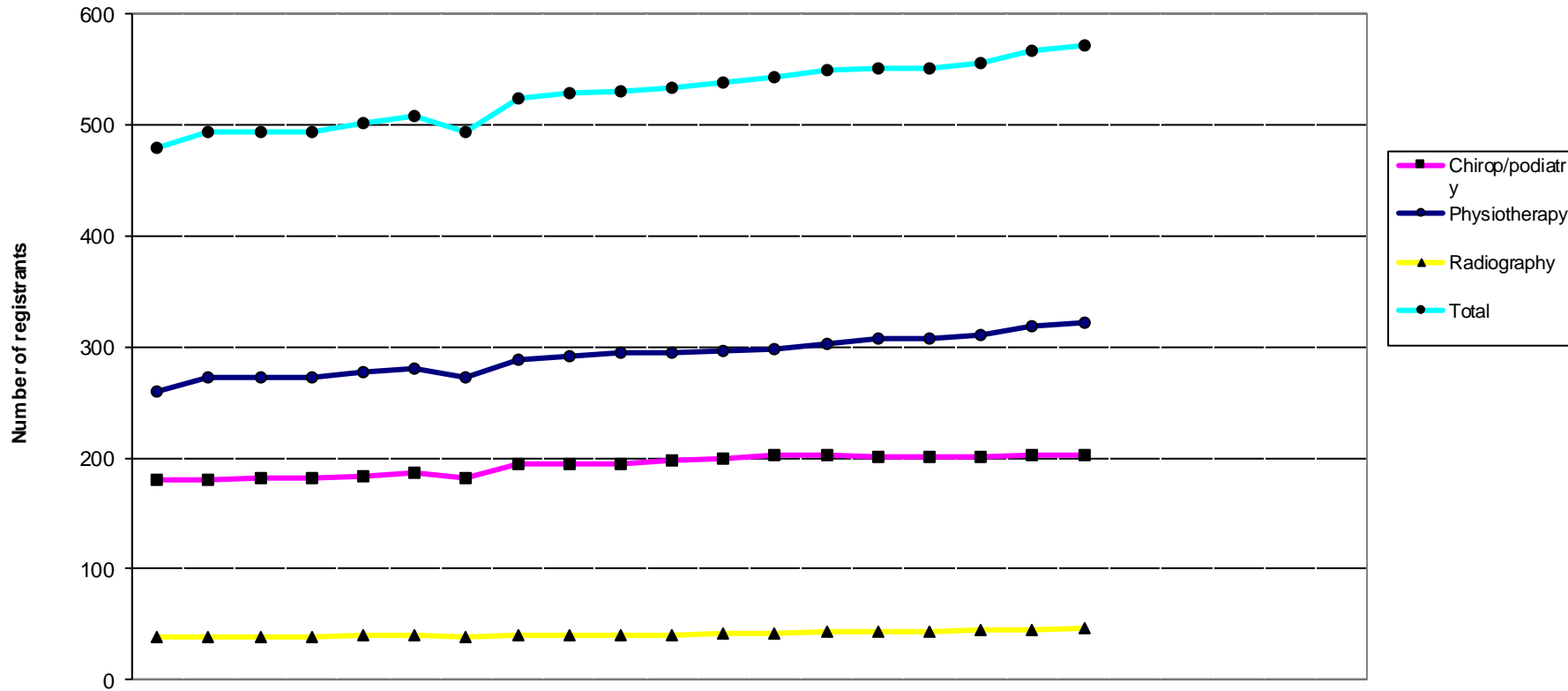
	2013												2014												2015												11/12	12/13	13/14	14/15
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	YTD												
<b>No. selected for CPD</b>	0	0	520	499	855	565	0	0	727	0	1,224	86	209	376	0	0	0	2,571	0						4,258	1,322	4,476	3,156												
<b>No. profiles received</b>	71	230	65	115	291	498	682	277	121	133	361	278	573	212	275	232	138	119	159						2,600	1,315	3,122	1,708												
<b>No. profiles assessed</b>	0	99	177	85	143	250	545	356	135	137	404	112	332	360	275	40	198	0	35						2,225	1,919	2,443	1,240												

# Health and Care Professions Council

# Operations Directorate

Health and Care Professions Council Number of registrants with supplementary prescribing rights April 2013 - March 2015

Registration Department

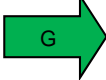




	2013			2014									2015						10/11	11/12	12/13	13/14	14/15							
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	FYE	FYE	FYE	FYE	YTD	
<b>Chiropr/podiatry</b>	180	181	182	182	183	186	182	195	195	195	197	199	203	203	201	201	201	203	203							129	149	179	199	203
<b>Physiotherapy</b>	260	273	273	273	278	281	273	288	292	294	295	297	298	303	307	307	310	319	322							182	224	253	297	322
<b>Radiography</b>	39	39	39	39	40	41	39	41	41	41	41	42	42	43	43	43	45	45	46							23	30	36	42	46
<b>Total</b>	479	493	494	494	501	508	494	524	528	530	533	538	543	549	551	551	556	567	571							334	403	468	538	571







### 3. Project Management Commentary



Project Number	Project Name	Project Board	Project Status	
MP63	HR and Partners process and systems review	Project sponsor: Marc Seale Project lead: Teresa Haskins	Previous 	Current Closed
Project Description				
A review of all HR and Partner department systems and processes to determine how processes can be adapted for future needs and to determine HCPC requirements for a new system(s), if required.				
Project Scope		Status update		
<ul style="list-style-type: none"> <li>▪ Review and map current HR and Partners business process and systems as they are now (as is)</li> <li>▪ Define and map HR and Partners business processes and systems required in the future (to be)</li> <li>▪ Identify preferred/most feasible option for 'to be' processes and systems</li> <li>▪ Establish whether the HR and Partners functions share sufficient similarities in processes and requirements to enable them to continue to share the same database(s) and IT systems</li> <li>▪ Identify preferred supplier for potential new system(s)</li> <li>▪ Produce business case for the Phase 2 project to build the preferred solution(s)</li> </ul>		<ul style="list-style-type: none"> <li>▪ Project has been closed and HR and Partners build project has been initiated.</li> </ul>		
Project Budget History	Committed spend	Date of Initiation	Project End Date History	
Initiation: £100,133 Exception Report Sept 2013: £124,105 Exception Report Mar 2014: £155,569 Exception Report June 2014: £208,139	£162,196	December 2012	Initiation: December 2013 Exception Report Sept 2013: June 2014 Exception Report Mar 2014: Nov 2014	


Project Number	Project Name	Project Board	Project Status	
MP70	186 Kennington Park Road Redevelopment	Project sponsor: Marc Seale Project lead: Steve Hall	Previous 	Current 
Project Description				
Planning for 186 Kennington Park Road redevelopment				
Project Scope		Status update		
<ul style="list-style-type: none"> <li>With the input of an appointed team of consultants, fully design a scheme that aligns with the cost requirements of the overall project;</li> <li>Obtain the local planning authority permissions to allow the project to proceed;</li> <li>Tender for the contracts to demolish and construct a replacement building at 186 Kennington Park Road.</li> </ul>		<ul style="list-style-type: none"> <li>Planning application has been made to Lambeth Council and a decision is expected in January.</li> </ul>		
Project Budget History	Committed spend	Date of Initiation	Project End Date History	
At Initiation: £534,392	£406,596	March 2013	At Initiation: November 2014 Feb 2014 Exception Report: May 2015	

## Health and Care Professions Council

## Operations Directorate

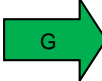
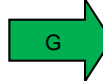
Project Number	Project Name	Project Board	Project Status	
MP64	Education System Build	Project sponsor: Brendon Edwards Project lead: Paula Lescott	Previous 	Current 
Project Description				
Implementation of the recommendations made during the Education systems and process review project previously undertaken				
Project Scope		Status update		
<ul style="list-style-type: none"> <li>Implementation of a new IT system comprising of a combined Microsoft Dynamics and Sharepoint solution, which will replace all current systems in use within the Education Department;</li> <li>Development and implementation of a full Education data model which is fully supported within the new system, a suite of reporting functions and revised operational business processes;</li> <li>Maximisation of new technology to provide automation within data and business processes;</li> <li>Training of end users and IT employees to enable effective use of the new system and business processes, to enable management and administration of the system and to enable development of the system;</li> <li>Review of the Department structure, teams and roles to align with the new system and business processes</li> </ul>		<ul style="list-style-type: none"> <li>The build phase for the first release is drawing to a close; the remaining issues are being resolved and UAT is due to start imminently.</li> <li>Focus has been on the data migration and training elements of the project.</li> </ul>		
Project Budget History		Committed spend	Date of Initiation	Project End Date History
At Initiation: £1,098,117		£634,988	December 2012	At Initiation: April 2015 Sept 2014 Exception report : October 2015

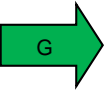
Project Number	Project Name	Project Board	Project Status	
MP71	Fees Review	Project sponsor: Marc Seale Project lead: Michael Guthrie	Previous 	Current 
Project Description				
Review of current registrant fees and implementation of any agreed changes				
Project Scope		Status update		
<ul style="list-style-type: none"> <li>To undertake the financial analysis required to determine whether the organisation needs to raise its registrations fees</li> <li>If it is deemed necessary, prepare and seek approval from Council for a revised fee structure</li> <li>Undertake a public consultation with stakeholder groups.</li> <li>Analyse all consultation responses received and issue a response</li> <li>Amend and implement required Rules changes.</li> <li>Amend the fees structure within Net Regulate</li> <li>Undertake communications with stakeholder</li> <li>Amend all references to fees in HCPC documentation and on the website.</li> </ul>		<ul style="list-style-type: none"> <li>Following successful go-live for the new fees structure a bug has been found with the print files that are generated from Net Regulate.</li> <li>The files are outputting the new fee structure regardless of the structure that is applicable to the individual registrant.</li> <li>A fix for the bug has been deployed and tested</li> <li>As the bug will not affect registrants until the fees are raised again and in order to minimise disruption to the business the fix will be deployed at the same time as other developments to the system</li> </ul>		
Project Budget History	Committed spend	Date of Initiation	Project End Date History	
At Initiation: £3,450 Exception report Sept 2013: £7,230	£6,080	May 2013	At Initiation: May 2014 Sept 2014 Exception Report: March 2015	

Project Number	Project Name	Project Board	Project Status		
MP72	Online renewals review	Project sponsor: Greg Ross Sampson Project lead: Claire Harkin	Previous 	Current  Closed	
Project Description					
Review of the online renewals system to improve usability and a review of our online payment providers to reduce costs					
Project Scope			Status update		
<ul style="list-style-type: none"> <li>▪ Renaming the authentication code</li> <li>▪ Changing the activation and authentication codes generating algorithm</li> <li>▪ Creating the functionality to allow registrants to remove their name from the Register via the online system.</li> <li>▪ Improve renewal status communication within the system</li> <li>▪ Create functionality to produce an acknowledgement of payment when a registrant is sent their certificate and card.</li> <li>▪ Improve work address functionality</li> <li>▪ Create functionality to allow a registrant to be provided with an option to print out the terms and conditions.</li> <li>▪ Changing the date of birth formatting</li> <li>▪ Review card payment costs and implement cost savings</li> <li>▪ Perform a data clean up on registrant addresses to ensure all registrants have data in all address lines</li> </ul>			<ul style="list-style-type: none"> <li>▪ Due to further delays that were experienced on a separate Net Regulate release, the cost benefit of these changes (which was reliant on implementing the changes before the Social worker renewal period) could not be realised.</li> <li>▪ Therefore a decision was taken to cancel the Net Regulate changes that had been scheduled.</li> <li>▪ The fee negotiation with Worldpay regarding Direct Debit charges was extremely successful and HCPC will benefit from a 43% reduction in fees.</li> </ul>		
Project Budget History		Committed spend	Date of Initiation	Project End Date History	
At Initiation: £148,410		£8,495	Apr 2014	At Initiation: March 2015	

## Health and Care Professions Council

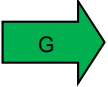
## Operations Directorate

Project Number	Project Name	Project Board	Project Status	
MP 75	Registrations process and systems review	Project sponsor: Marc Seale Project lead: Greg Ross Sampson		
Project Description				
Review of the Registrations department's processes and supporting systems				
Project Scope			Status update	
<ul style="list-style-type: none"> <li>▪ Re-engineer the Registration processes, to ensure streamlining where commonalities of process occur.</li> <li>▪ Identify where the touchpoints with the system will be, and identify any manual processes that could be automated within the system.</li> <li>▪ Write the functional and non-functional requirements, including interfaces with other systems.                             <ul style="list-style-type: none"> <li>○ Functional and non-functional requirements will be written with a view to move as many processes online as possible – specifically the application processes, CPD audits, and setting up direct debits.</li> </ul> </li> <li>▪ Produce high level draft operating procedures, to reflect the procedural context of the functional requirements.</li> <li>▪ Produce a gap analysis between the functional/non-functional requirements, and our current solution.</li> <li>▪ Determine the scope, write the business case and prepare the tender for Project 2: Design and Build.</li> </ul>			<ul style="list-style-type: none"> <li>▪ The requirements gathering process is progressing well.</li> </ul>	
Project Budget History		Committed spend	Date of Initiation	Project End Date History
At initiation: £296,278 Exception report Oct 14: £310,739		£216,072	July 2014	At initiation: June 2015

Project Number	Project Name	Project Board	Project Status	
MP 76	Domino to Exchange migration	Project sponsor: Guy Gaskins Project lead: Rick Welsby	Initiating	
Project Description				
Migration of email service from Lotus Notes to MS Outlook				
Project Scope		Status update		
<ul style="list-style-type: none"> <li>▪ Migration of the email platform from IBM Domino to Microsoft Office 365.</li> <li>▪ Implementation of functionality to enable an email retention policy to be applied by the business</li> <li>▪ A decision by EMT of the enforcement of email retention in the context of the wider organizational information management standards.</li> <li>▪ Installation of non-telephony Lync (preparing for the future)</li> <li>▪ Staff training on the new technology</li> </ul>		<ul style="list-style-type: none"> <li>▪ Lan 2 Lan have been appointed as the primary supplier</li> <li>▪ Design work will commence immediately that the contract has been signed.</li> </ul>		
Project Budget History	Committed spend	Date of Initiation	Project End Date History	
At initiation: £116,727	£0	September 2014	At initiation: March 2015	

**Health and Care Professions Council**

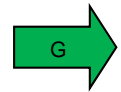
**Operations Directorate**

Project Number	Project Name	Project Board	Project Status	
MP 78	HR and Partners systems build	Project sponsor: Marc Seale Project lead: Teresa Haskins	Initiating	
Project Description				
Build and implementation of the new HR and Partners system				
Project Scope			Status update	
<ul style="list-style-type: none"> <li>▪ Implementing improved processes and working practices supported by a new HR and Partners system.</li> <li>▪ Implementing online recruitment for employee and partner applicants</li> <li>▪ Improved data integration with Partner user departments</li> <li>▪ Updating training and operational manuals</li> </ul>			<ul style="list-style-type: none"> <li>▪ An implementation plan is being agreed with the selected supplier – Core HR</li> <li>▪ Following agreement design work will commence.</li> </ul>	
Project Budget History	Committed spend		Date of Initiation	Project End Date History
At initiation: £644,178	£0		Nov 2014	At initiation: June 2016



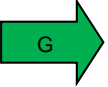
## Health and Care Professions Council

## Operations Directorate

Project Number	Project Name	Project Board	Project Status	
MP 74	Sage and PRS upgrade	Project sponsor: Andy Gillies Project lead: Charlotte Avery	Initiating	
Project Description				
Upgrade to the Sage and PRS financial systems				
Project Scope			Status update	
<ul style="list-style-type: none"> <li>▪ Upgrading the Sage, PRS and ALBACS systems so they are able to sit on a newer operating system.</li> <li>▪ Correcting any known bugs in Sage 200;</li> <li>▪ Correcting any known bugs in PRS;</li> <li>▪ A full audit of the PRS users and approval routes;</li> <li>▪ Reviewing the nominal structure in PRS to ensure that the user groups are correct;</li> <li>▪ Reviewing the field/nominal coding structure so that fields necessary to manage the business can be included in the database;</li> <li>▪ Ensuring that the systems can support detailed reporting on major projects;</li> <li>▪ Ensuring that all the standard reports work correctly in Sage 200 and its Business Intelligence Model;</li> <li>▪ Ensure that the DR environment is synced correctly with the live environment and ensure that an adequate testing environment is available;</li> <li>▪ Provide training and guidance to all users of the new WAP system.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Workshops with suppliers to configure the upgraded systems are progressing well.</li> </ul>	
Project Budget History		Committed spend	Date of Initiation	Project End Date History
At initiation: £122,714		£76,529	Oct 2014	At initiation: April 2015

**Health and Care Professions Council**

**Operations Directorate**

Project Number	Project Name	Project Board		Project Status	
MP 79	Net Regulate changes 2014-15	Project sponsor: Andy Gillies  Project lead: Chantelle Mayoss		Initiating	
Project Description					
Implementation of 6 technology changes to the Net Regulate registrations system					
Project Scope				Status update	
<p>To implement the below change requests in a single deployment during 2015, should they prove cost effective.</p> <ul style="list-style-type: none"> <li>▪ CR1 – Outstanding balance and profession reporting</li> <li>▪ CR2 – Compulsory country codes</li> <li>▪ CR3 – Including registrants with Caution status in outstanding balance reporting</li> <li>▪ CR4 – Including Status change date data in Crystal reports</li> <li>▪ CR6 – Downgrading watchlist user permissions</li> <li>▪ CR7 – Making email priority setting user-configurable</li> </ul>				<ul style="list-style-type: none"> <li>▪ Initial requirements gathering has completed and design documentation is beginning to be written</li> </ul>	
Project Budget History		Committed spend		Date of Initiation	Project End Date History
At initiation: £69,406		£0		Nov 2014	At initiation: July 2015

Uninitiated projects included in the Project management workplan 2014/15

Project name	Comments
Stakeholder contact management system	This project is undergoing initiation
Direct Debit Review	This project has been closed and the work will be delivered as part of the Registrations process and systems review project
FTP changes	Due to commence initiation in May 2014 – initiation has been delayed due to a dependency on other development work on the FTP system

### 4. Business Process Improvement Commentary

#### 4.1 Quality Management System Changes and Audits

ISO 9001:2008 is under review, and the proposed 9001:2015 early draft is being examined for impact. Audit by BSI in Nov 2014 completed.

ISO9001 clause	RISK Based Audit from January 2008 onwards	2014										2015				29-30th	
		March	April	May	June	July	August	September	October	November	December	January	February	March	April		
					27001			27001									
	<b>UK Registrations</b> Claire Harkin / Chris French	NMR44															
7.5.3	<b>International Registrations/ Grandparenting</b> Anna Lubasinska / Chris French		BSI	BSI													
7.5.2	CPD Anna Lubasinska / James Wilson									BSI							
7.5.2	<b>Education</b> Abigail Gorringe									BSI							
	<b>Secretariat</b> Claire Gascoigne / Louise Hart							NMR47		BSI							
6.3	<b>Fitness to Practise</b> Kelly Holder / Brian James															BSI	
4.2.3	<b>Policy</b> Michael Guthrie	PII-draft															
4.2.4	<b>Communications</b> Jacqueline Ladds		Evtfr					Social Media								BSI	
8.2.1	<b>Quality- Business Proc Improv</b> Roy Dunn / Kayleigh Birtwistle	Entropy?	BSI	BSI					Entropy?							BSI	
5.5.2	<b>Customer Service</b> Louise Hart/Ruth Cooper																
8.2.1	<b>Human Resources – Employees</b> Teresa Haskins									BSI							

# Health and Care Professions Council

# Operations Directorate

	<b>Human Resources – Partners</b>													
6.2	Hayley Graham													
	<b>Facilities/Infrastructure</b>		BSI	BSI										
6.2.2	Stephen Hall					NMR46								
	<b>Information Technology/Infrastructure</b>													
6.3	Guy Gaskins/Rick Welsby									IT-BCM				
	<b>Finance</b>													
7.3 & 7.5.4	Andy Gillies													
6.3	<b>Project Management</b>													
	Claire Reed													
	<b>Procurement</b>									BSI				
7.3.7 / 7.3	Freya Wenham													
	<b>Disaster Recovery</b>													
7.4.2 / 7.4	EMT/CDT													
	<b>DeepStore Archive</b>	Bow												
	<b>Europa QP Printers</b>													
	<b>ServicePoint Scan &amp; Copy</b>			Batt&Croy		Croydon		Bermondsey						
7.5.5	<b>Eventsforce Events sign up online</b>		Website											
	<b>COUNCIL</b>							NMR48						
	<b>BSI Audit</b>		BSI	Deferred BSI Audit										
	<b>Mazars Audit</b>													
	<b>HCPC ISO audit</b>													
	<b>Near Miss Reports = NMR#</b>													
	<b>PCI-DSS Audit by NGS/NCC</b>													
	<b>QMS Major Process Rvw</b>													
	<b>As Is output from Project</b>													
	<b>3rd Party supplier audit</b>													

Individual audit dates may be moved to accommodate issues outside the Quality department by arrangement.

Items in Light Blue are planned internal audits. Items in Dark Blue are BSI external audits

Items in red refer to Near Miss Reports which are unplanned by their very nature.

Items in yellow refer to work on the QMS processes where changes are planned at department level.

#### 4.2 Near Miss Reporting

REPORT NUMBER	TARGET DRAFT TO SPONSOR	TARGET DATE TO FINALISE WRITE UP	TARGET DATE TO EMT
NMR38 UAT on NetRegulate resulted in updating live records. (+ Bug reported Spring 2014 delayed report)	Nov 2014	Nov 2014	Dec 2014
NMR45 Supplier returned non HCPC private data to HCPC	July 2014	July 2014	August 2014 Nov 2014
NMR46 Restraint of suspected bicycle thief resulted in slight injury to security guard	July 2014		Complete
NMR47 Employee qualification details released in error	October 2014	Nov 2104	Nov 2014
NMR48 Apparent Council Member iPad loss	Sept 2014		Complete

#### 4.3 Audits & updated processes

The latest BSI Audit took place on 4th November 2014, covering Education, Secretariat, and Staff Development & Training. Purchasing & Supplier validation, and Registrations CPD were deferred to allow more detailed auditing which reflects a more robust approach by BSI and UKAS to the amount of auditing required based on the size, and complexity of the organisation.

An updated BSI audit schedule will be finalised shortly, using 4 days per year of BSI audit (an increase from 2 days per year). More detail on the latest audit, and the logic behind the increase in audit days will be presented to the Audit Committee.

It is hoped that future ISO27001 audit will be incorporated with the ISO9001 audit work to avoid overlap and excessive external audit requirements.

BSI continue to work on the migration of our existing QMS to the BSI Entropy platform. All processes and supporting documents have been supplied electronically, and the developer and consultant are testing the new platform with our content. The current QMS has been frozen for a short time to allow the migration to be tested. Processes will continue to be developed off line.

#### 4.4 Corporate Risk Register Maintenance

Register iteration	Draft circulated	Collecting updates	EMT sign off	Published
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2014 January	Completed	Completed	Completed	Completed
2014 September	Circulated	Completed	Completed	Completed
2015 January	Dec 2014	Dec / Jan 2015 -	Not yet commenced	Not yet commenced
2015 September	Not yet commenced	Not yet commenced	Not yet commenced	Not yet commenced

Initiatives around various risk assurance enhancements have been tested, including mapping Strategic Objectives to individual risks. This was found to be of no value by the Audit Committee.

#### 4.5 Registrant Number Forecasting

Forecast iteration	Draft circulated	Collecting updates	EMT sign off	Published to Council
2013 August	Completed	Completed	Completed	Completed
2014 Sept, Brought forward July 2014	Completed	Completed	Completed	Completed
2015 June	April 2015	May 2015	May/June 2015	June 2015
2016 June	April 2016	May 2016	May/June 2016	June 2016

#### 4.6 ISO27001 project Information Security Work

An Information Security Management System (ISMS) is still under construction. Detailed policies are being mapped to existing roles within the organisation. External site audits have continued. We continue to train Partners around information security, and the challenges of working off site. ISI27001 workshops with the IT department are on going.

#### 4.7 Business Continuity / Disaster Recovery Planning

An evaluation of electronic BCM plan delivery methods took place in early July – August 2014. A supplier has been selected for testing part of our plan being migrated to an online format. If this is an acceptable solution to the business, we will proceed to contracts and full migration. Budget is in place for this option.

An IT BC/DR test took place in late November. No issues were found.

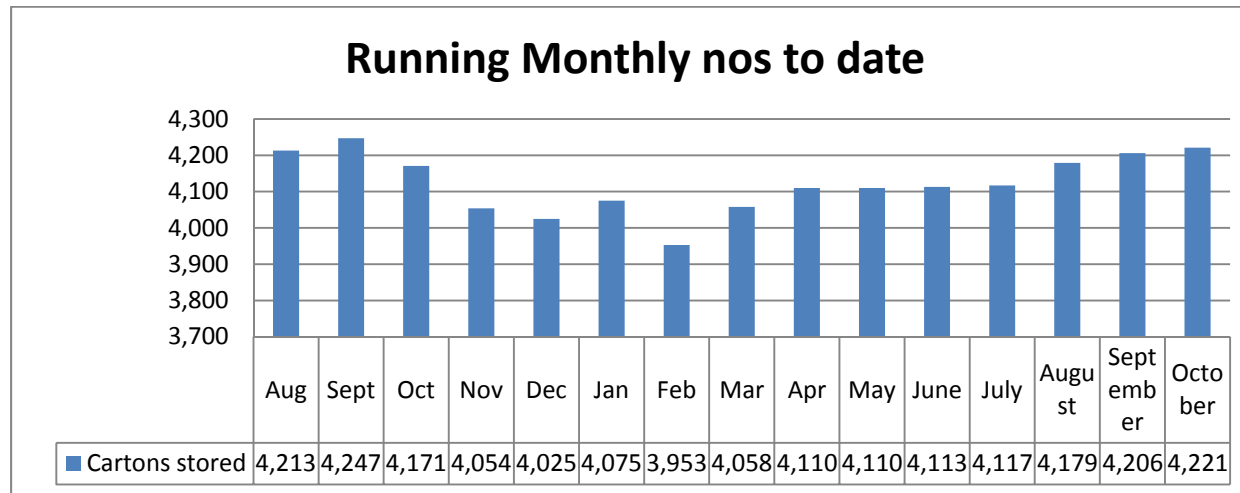
#### 4.8 Information & Reporting Activity

Social Worker renewal activity is being monitored closely over the September-end November period.

The graph below shows current carton/box numbers within the archive system. Registrations storage is being assessed to validate scanned copies exist before hard copy destruction. There has been a slight increase whilst this is in progress.

A supplier site has been vetted for enhanced information security prior to tests of items being scanned and securely uploaded, for secure browsing by Partners. This test will commence shortly within the registrations department.

Ultimately this trial should lead to a reduction in paper storage requirements over time. A further cull is being planned for the new financial year.



**Other items**

A small group of CDT has been looking at the content required for this financial years information security training for employees and contractors, partners and members. Three quotations were obtained from suppliers. A supplier has been selected. Content is being updated, for roll out shortly.

**4.9 Departmental Matters**

The Quality Compliance Auditor, Kayleigh Birtwistle has been trained in information security and has passed the Certificate in Information Security Management Principles (BCS). Further training will continue.

We continue to be asked to provide a large number on increasingly specific Freedom of Information responses.



A Data Analyst will be recruited into the Operations area this financial year. The specification may be amended.

## **5. Facilities Management Report**

### **5.1 Staffing**

There are five permanent employees including the Facilities Manager. Services provided include Reception, Building Maintenance, Post Room, Health & Safety and Building Project Management.

The Facilities Supervisor has announced his intention to retire at Christmas 2015 and recruitment for his replacement has commenced. Recruitment has will also commenced for the replacement of the Caretaker, who resigned earlier in the year.

### **5.2 Replacement windows to 20 Stannary Street**

Having received planning consent, the order to replace windows at the rear of 20 Stannary Street on 1<sup>st</sup> and 2<sup>nd</sup> Floors has been placed. It is estimated that these will be installed early in 2015, over a series of weekends, to minimise the impact to employees.

### **5.3 Building Maintenance**

The following building maintenance issues have occurred

- Work has been carried out to resolve the issue of rainwater leaking in to the old council chamber
- Issues relating to blocked sewage outlets to 186 Kennington Park Road. Both issues were resolved successfully
- Blocked box gutter on the facade to 186 Kennington Park Road has resulted in water damage within the building. Facilities are working with contractors to resolve the issue and repair any damage caused