

BUSINESS PROCESS IMPROVEMENT – Roy Dunn

General & Employee issues

Thomas Berrie, Information Services Manager will be trained in ISO Internal Audit procedures to assist in conducting Risk based audits across the organisation.

Roy Dunn was involved in updating statistics and information around commercial use of on-line systems and its effectiveness, for the On-line renewals project.

The Audit Committee and President received update training on the ISO / BSI Quality process at HPC after the previous Audit Committee meeting.

ISO registration

The existing ISO registration and training materials have been evaluated.

Approvals and Monitoring, UK & International Registrations have been internally audited.

The HR Partner processes were reviewed by the HR Director and are being updated.

Latest BSI external audit

The BSI audit of April 8th 2008 covered Registrations – UK, International & Grandparenting, and the management system.

Although the registration departments were still operating on separate floors at the time of the audit, no nonconformities were identified, however International application processing was slightly behind schedule due to recent Easter public holidays.

The minor nonconformities raised at the previous audit around internal checking on data input and call quality were reviewed and found to be completed. This closed off the minor nonconformity and is thus complete.

The first paragraph of page three of the report highlights HPC's "definite energy focussed on improvement". See report for further detail.

BSI have noted the move toward Risk Based Audit as being more beneficial to HPC.

A copy of the BSI report is attached for information.

Note the October 2008 BSI Audit of Staff development and Training has been replaced by Project Management, as project work forms a substantive part of HPC's ongoing tasks.

Other areas for BSI Audit in October include Secretariat, Approvals & Monitoring, and Purchasing and Supplier evaluation.

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Business Continuity planning

An exercise of the latest version of the Business Continuity plan took place on the 29th May with members of EMT being intercepted on their way into the office. The scenario used was that of a major fire in an adjacent building, with damage to HPC's buildings also. Two employees were deemed to be missing in the scenario.

IT services were established in the recovery centre at Uxbridge. EMT and some Council members attended and took part in a cut down Council meeting to discuss how the organisation would cope under conditions if quorate Council or Finances & Resources meetings could not take place.

The exercise will be evaluated in light of the Internal Audit process.

The Business Continuity plan is being updated to reflect the recommendations of the new BS25999 standard for Business Continuity Management. External consultants have completed their work and the resultant output is being put through the Plain English process where applicable.

The Business Continuity Management process now includes the following;

1. Incident Management Plans
2. Documents of how to maintain the plans and the areas around which contingency must be organised including Business Impact Assessment

3. Detailed plans for use during invocation.
4. Supporting material such as a glossary of DR terms

Data Archiving

We are about to despatch the tender documents for our Data Archiving, following a major piece of work on generic contracts by the Procurement Officer and our solicitors. The contact now covers all aspects for contracting goods and services.;

Business Reporting

No specific changes. 2008/9 financial year reports running as required.

Customer Service

No major generic issues to report.

Date	Ver.	Dept/Cmte	Doc Type	Title	Status	Int. Aud.
2008-06-16	a	QUA	RPT	Business Process Improvement Audit Comm 2008 June 26th	Draft DD: None	Confidential RD: None

Assessment Report



Organisation

Health Professions Council

Report Author

Lisa Clarke

Visit Start Date

08/04/2008



Introduction

This report has been compiled by Lisa Clarke and relates to the assessment activity detailed below:

Visit ref/Type/Date/Duration	Certificate/Standard	Site address
7026832 Continuing assessment 08/04/2008 1 day(s)	FS 83074 BS EN ISO 9001:2000	Health Professions Council Park House 184 Kennington Park Road London SE11 4BU United Kingdom

The objective of the assessment was to seek evidence of ongoing compliance to the requirements of the ISO 9001:2000 standard and to the documented quality management system planned by the Health Professions Council.

Management Summary

The areas assessed during the course of the visit were found to be effective.

Corrective actions with respect to nonconformities raised at the last assessment have been reviewed and found to be effectively implemented.

No new nonconformities were identified during the assessment. Enhanced detail relating to the overall assessment findings is contained within subsequent sections of the report.

Areas Assessed & Findings

Registrations - International

Work has been taking place over the past six months or so to gradually prepare the current skill specific teams undertaking the various registration tasks for a move towards an integrated team. New office space is being renovated and it is hoped that a move to a new open work area will be possible within the next few weeks. Recent team building exercises have been good for morale and staff are looking forward to their new working environment.

Sampling of the process covering international registrations appeared to demonstrate that the process is effective. The following were noted:

1. The process flow diagram states that the objective for logging renewals is within 72 hours of receipt. Currently this target is being affected by work volumes and the sample used had arrived on 1st April (6 working days).
2. The application for registration checklist could be updated to remove the tick box from "please also check that you have not". This will make it easier for reviewers to look for gaps.
3. New training records seen within registrations are comprehensive and include an evaluation of the training undertaken. This is in line with best practice.
4. The monitoring of calls and letters is now taking place and being recorded regularly. The information is being used to build up a history and this will enable you to demonstrate continual improvement. This information should also form an input to management review (process performance data).

Registrations - Grand parenting

At present, there are no health care sectors undergoing the grand parenting process and assessment of this activity has been deferred for a year pending the addition of psychologists and hearing aid professionals to the scheme, so that more sampling material is available.

Quality Management System Organisation and Review

The quality system is now the responsibility of Roy Dunn, who has taken over the duties of Quality Manager from Greg Ross-Sampson. Roy has recently attended a benchmarking assessment day with BSI and his initial audit of the system against the management principles which underpin the business excellence standard ISO 9004:2000 gives him a "gold" result. This would certainly be a good level of benchmark to strive for if and when a formal assessment is undertaken by BSI in the next year or so.

A definite energy focussed on improvement is noted with the Health Professions Council organisation. Observations and issues raised by BSI are generally considered and adopted very quickly and it is impressive to see the changes visit by visit. This certainly sits alongside the Council's stated objective to strive to be the best regulation body in the industry.

A recent review of risk within the business has led to a newly revised "risk" based audit plan. This ensures all high risk processes are identified and assessed on a more regular frequency. This is seen as best practice.

In line with the review of risk, new lockable transport cases have been purchased for transferring material which may contain personal or sensitive information to the copying supplier. The case does not currently carry any telephone number or contact details for its return in the event of misplacement. Additionally, it may be worth clarifying details of the checks to be made by your reception staff (Service Point van, Service Point uniform, ID?) prior to handing over the material. Any changes should be added to your process flow diagram for training purposes and communicated to existing staff.

Minor Nonconformities Raised at Last Assessment

Ref	Area/Process	Clause
A116929/1	Registrations	8.2.3/8.2.4
Details:	No records were available to demonstrate in-process checking arrangements are being carried out at present.	
Actions:	Update 8th April 2008 Monitoring of calls and paperwork is now being recorded. Comprehensive notes were seen.	
Closed?:	<input checked="" type="checkbox"/>	

Assessment Participants

On behalf of the organisation:

Name	Position
Roy Dunn	Quality Manager
Marianne Lawrence	Customer Services manager
Richard Houghton	Head of Registration
Rosemary Philip	Registration Adviser

The assessment was conducted on behalf of BSI by:

Name	Role
Lisa Clarke	Team leader

Continuing Assessment

BSI believes in a partnership approach that provides added value service. It is on this basis that we propose a programme of continuing assessment as detailed below.

Site Address	Certificate Reference/Visit Cycle
Health Professions Council Park House 184 Kennington Park Road London SE11 4BU United Kingdom	FS 83074
	Visit interval: 6 months
	Visit duration: 7 hours
	Next re-certification: 01/04/2007

Re-certification by Strategic Review will be conducted on completion of the cycle, or sooner as required. The review will focus on the strengths and weaknesses of your Management System.

Certification Assessment Plan

Business area/Location	Date (mm/yy):	Visit 1	Visit 2	Visit 3	Visit 4	Visit 5	Visit 6
	Duration (days):	10/07 1	04/08 1	10/08 1	04/09 1	10/09 1	04/10 1
Registrations UK		•					
Registrations International			•				
Registrations Grandparenting					•		
Communications						•	
Approvals & Monitoring				•			
Fitness to Practice					•		
HR/Partner Validation		•					
Purchasing & supplier evaluation				•			
Secretariat				•			
Customer Services						•	
Finance						•	
Management System Organisation and Review			•		•		•
Senior Management Interview							•
Preparation for Strategic Review						•	
Strategic Review							•
Staff development and Training		•		•			
Policy		•					

Next Visit Plan

Visit objectives:

The objective of the next visit is to make further progress against the strategic assessment plan to ensure the requirements of the ISO 9001:2000 standard are fulfilled through the HPC quality management system in those areas.

Visit scope:

The areas due for assessment are detailed below.

Date	Assessor	Time	Area/Process	Clause
	Lisa Clarke	09.30	Opening meeting	
		10.00	Secretariat	
		11.30	Approvals & Monitoring	
		12.30	Break	
		13.30	Staff training and development	
		14.15	Purchasing and supplier evaluation	
		15.00	Report writing and closing meeting	

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organisation within 30 days of an agreed visit date. It is a condition of Registration that a deputy management representative be nominated. It is expected that the deputy would stand in should the management representative find themselves unavailable to attend an agreed visit within 30 days of its

conduct.

Notes

The assessment was based on sampling and therefore nonconformities may exist which have not been identified.

If you wish to distribute copies of this report external to your organisation, then all pages must be included.

BSI, its staff and agents shall keep confidential all information relating to your organisation and shall not disclose any such information to any third party, except that in the public domain or required by law or relevant accreditation bodies. BSI staff, agents and accreditation bodies have signed individual confidentiality undertakings and will only receive confidential information on a 'need to know' basis.

'Just for Customers' is the website that we are pleased to offer our clients, designed to support you in maximising the benefits of your BSI registration - please go to www.bsi-emea.com/JustForCustomers to register. When registering for the first time you will need your client reference number and your certificate number (47125084/FS 83074).

The CO2 emissions due to the planning, delivery and administration of this assessment will be fully off-set through the BSI CarbonNeutral® project. For more information on CarbonNeutral® please visit www.bsi-uk.com/carbonneutral.

Should you wish to speak with BSI in relation to your registration, please contact our Operations Support Team:

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