

Business Process Improvement (BPI) Report- Roy Dunn

1. Human resources

BPI moved into the centralised Quality Assurance Department in June 2018. Kayleigh Birtwistle, Quality Compliance Auditor (QCA), has been seconded to the Projects Department for one year. A replacement QCA will be recruited. Some activities will therefore need to be postponed until the new QCA is in place and trained.

Roy Dunn who acts as Information Security Manager for ISO27001 completed the International Council of E-Commerce Consultants (EC–Council) Certified Chief Information Security Officer course in June.

2. Quality Management System (QMS) Quality Assurance, Information Security Management Systems (ISMS) review meetings, internal audits and Near Miss Reports (NMR).

Following the organisational changes in May the QMS and ISMS are being updated to reflect new structures at the process level.

Reports are added to the schedule as required by circumstances, including access to network and buildings as influenced by changes in employees. Tidy Desk audits were carried out and most departments are compliant outside work hours. Other audits in this period include Registration Renewals, Registration International, Policy and Standards, a Communications Department external supplier, internal security regarding the post room and internal security relating to 33 Stannary Street.

NMRs

Near Miss Report status at the time of writing;

- NMR65 Portal software support and version availability. Software availability issues may impact existing developments [audit completed and report being finalised after 1 August licence extension].
- NMR66 Unauthorised access to 22 Stannary Street. A door was not locked when the building was vacated by the cleaners and security guard, no loss or damage has been determined [audit completed and report being finalised as costs of being obtained from potential suppliers]
- NMR67 Core HR internal data exposure. Managers carrying out shortlisting were able to see applications not related to the role they were shortlisting for[audit partially completed - awaiting meeting with Core HR suppliers]
- NMR68 External supplier failure [Report completed]

3. QMS process updates

A few minor processes have been updated in BPI and Fitness to Practise (FTP). Some minor changes to Communications and Finance processes were carried out.

The ISO9001 and ISO27001 management stream processes (those not specific to operational departments) were updated in light of the management structure changes. This was a rapid major piece of work that was carried out outside the usual QMS / ISMS schedule.

Progress on planning the move of the ISO Quality Management System and (QMS) Information Security Management System (ISMS) to a new platform, is underway. Testing of the technical solution to our requirements has started. Development costs are within budget.

Over 600 processes or process links are required to be moved to the new combined Management system hub (QMS and ISMS) on the new intranet. Once we have confirmed the existing intranet technology has been successfully migrated, we will populate the Management Systems Hub. This will be a manual task. There is a level of risk around getting all the functionality and processes in place between BSI audits.

An updated Document Control Process is being developed with the Governance and Communications Departments to produce an effective but unobtrusive set of data to appear in all footers for critical documents. This continues to be trialled.

4. BSI audit

The next BSI ISO9001 audit is 8 and 9 October 2018. This will cover QMS, and the FTP, Information Technology (IT) and Communications or Finance Departments. Recertification will take place on 9 and 10 April 2019.

The next ISO 27001:2013 information security audit will be on 2 and 30 April 2019.

The next ISO 10002:20014 audit and recertification is on 5 and 6 February 2019.

5. Business continuity

Shadow Planner / Plan in your Pocket data continues to be refreshed. Partner email contact details have been added. We will look at adding mobile numbers for Partners in the next few months.

The new management structure is being updated in the plan.

A Business Continuity test with IT and potentially some business users has been arranged for later in the month at the new site.

Northern Line Extension.

No change to this risk at present whilst the work nears completion. The oval shaped subsidence area in Kennington Park is likely to change slightly with an increase in water saturation levels following the prolonged dry spell. This may cause some ground movement.

6. Information security management

SMT updated the information asset register for confidentiality, integrity and availability risk around each major information asset.

ISMS documentation has been updated in light of feedback from the last IT – Governance audit and management structure changes.

Information Security training continues around the organisation. Council members, and Partners have been sent links to their bespoke packages.

Information security training results – internal. Department completion

	Module 1	Module 2	Module 3	Module 4	Module 5	Module 6
Registrations - 55	98%	98%	98%	98%	98%	89%
FTP - 121	96%	93%	89%	83%	80%	72%
HR/Partners - 15	100%	80%	73%	66%	60%	60%
Office Services - 8	100%	100%	100%	87%	87%	87%
Communications - 15	100%	100%	100%	100%	93%	93%
Chief Exec/Gov - 5	100%	100%	80%	80%	80%	60%
Finance - 9	100%	100%	88%	88%	88%	88%
Education - 16	100%	100%	100%	100%	100%	94%
Policy - 4	100%	100%	100%	100%	100%	100%
IT - 13	100%	100%	100%	100%	100%	92%
Projects - 2	100%	100%	100%	100%	100%	50%

Information security training results – Partners

Module	Completion %
Introduction - HCPC partners	60
Scenarios	57
Information Security for HCPC: Physical	55
Information Security for HCPC: Digital	55
Information Protection & Security Incidents	55
Assessment - HCPC partners	54
Information Security and ISO 27001:2013 - HCPC partners	52

Information security training results – Council members

Module	Completion %
Introduction - HCPC partners	30
Scenarios	30
Information Security for HCPC: Physical	30
Information Security for HCPC: Digital	30
Information Protection & Security Incidents	30
Assessment - HCPC partners	20
Information Security and ISO 27001:2013 - HCPC partners	20

7. Information and data management

Assessment and destruction of older archive material: a mine visit was postponed due to the requirement to update the QMS and ISMS systems to reflect management changes.

The Registration Department are examining the methods of offsite printing of personal correspondence at an offsite mailing house. These are currently printed in house, inserted in to envelopes, franked and mailed out. Security at these potential offsite locations will be reviewed by BPI. We have carried out similar work before with this suppliers sites.

8. Reporting

The Crystal Reporting system is being used to support account balance checking for the next major renewal period for Social Workers in England.

We have been working on supplying statistical support for the CPD Biannual report from the Registration Department. We continue to receive requests for detailed workforce data from Hospital Trusts and employment agencies.

9. Risk Registers

The Strategic Risks determined at the Strategic Risk workshops have been mapped into an updated format of the Strategic Risk Register. SMT members have updated their areas of responsibility, and the Strategic Risk Register is published at this meeting.

SMT and risk owners continue to maintain the Enterprise Risk Register.

The next iteration of the Social Work Risk Register is published at this committee meeting. The Chair and Chief Executive of Social Work England are now in place and discussions between HCPC and Social Work England continue.