

Audit Committee 13 March 2012

BSI Audit report October 2011

Executive summary and recommendations

**Introduction**

BSI are now supplying a new ISO9001 auditor.

**Decision**

The Committee is asked to discuss the attached report.

**Background information**

HPC are audited twice yearly by BSI as our external audit partner for ISO9001:2008

**Resource implications**

None.

**Financial implications**

None.

**Appendices**

BSI report

**Date of paper**

29 February 2012.

# Assessment Report

## Health Professions Council

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**Report Author**

John Doyle

**Visit Start Date**

04/10/2011

*REDACTED*



## Introduction

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This report has been compiled by John Doyle and relates to the assessment activity detailed below:

| Visit ref/Type/Date/Duration  | Certificate/Standard      | Site address   |
|---|---------------------------|--|
| 7577106<br>Continuing Assessment (Surveillance)<br>04/10/2011<br>1 day(s)<br>No. Employees: 140 | FS 83074<br>ISO 9001:2008 | Health Professions Council<br>Park House<br>184 Kennington Park Road<br>London<br>SE11 4BU<br>United Kingdom |

The objective of the assessment is to verify conformity to ISO9001:2008:requirements and the organisation's own management system.

## Management Summary

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

There were no outstanding nonconformities to review from previous assessments.

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

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### Overview of QMS

Changes since last BSI Assessment:

There are no significant changes in terms of roles and responsibilities within the QMS.

The organisation are currently working towards 27001 information Security Management.

It was also identified that the organisation are working to provide service for Social Service Professionals.

Management have identified that due to commitments, Secretariat due to be audited today would need to be subject to assessment next BSI visit

### Management Review

Management review has been undertaken through monthly management meetings. Last management minutes sampled for 27th September 2011. Management have reviewed a number of 5.6 requirements eg Document Control. Management Review and Customer Satisfaction.

Management have identified that a full management review is scheduled for October 2011.

## Internal Audit

Internal Audit schedule 2011/12 provided.

Internal audit Reports sampled:

Audit report-Procurement carried out 11/08/11

Audit report-Education carried out 15/08/11

Audit report -Education carried out 22/09/11 (Follow up audit)

Audit reports sampled provided objective evidence of sampling and findings and non conformities raised as required.

## Observation

Management may wish to ensure there is a consistent methodology for the identification of root cause in the event of corrective actions as a result of non conformities being raised.

## Complaints/Customer Feedback

Complaints monthly report for August 2011 viewed. All complaints are logged and subject to management review for improvement.

Customer Satisfaction is gained via stakeholder events from Registrants, Public and Employers.

Verified feedback from Health Professionals -Sheffield University event 16/06/11

## Training/competence Sam Ha HR Coordinator

Sampled training records for the following employees:

Registration Advisor-Performance appraisal APDR undertaken 24/02/11.

Last training provided Excel 2007 03/06/11. APDR appraisal process clearly identifies individual SMART objectives are set in alignment organisational requirements and objectives.

Fitness Practice-APDR undertaken 04/02/11-Last training HPC HR Internal Course 29/10/08. Objectives

set.

Fitness Practice -PDR carried out 27/01/11

Training need identified.

Last training provided -Plain English 21/07/11.

## Observation

For consistency of application of the APDR process management may wish ensure the completion of required comments sections of the appraisal records to be completed both by employee and line management. Management may also wish to provide clarity within the appraisal process the requirement to evaluate the effectiveness of prior training provided to ensure such evaluation is consistently undertaken.

## Procurement-Gary Butler

Approved Supplier List provided

Verified supplier Sacker & Partner supplier of legal services approved for use 2007,next subject to review July 2015.

Mazars LLP approved as result of Tender. Criteria for approval verified in tender documents. Tender involved evaluation of 3 suppliers following supplier presentations and rating. Audit Committee recommended approval 25/11/10. Council minutes Agree appointment of Mazars 09.12/10. Contract agreed 29/09/11-Mazars letter of engagement 11/07/11. Council to approve Mazars through sign off at next Council meeting 20/10/11.

Purchase Order 6039 raised on Mazars 27/07/11-approved by Gary Butler.

Verified list of authorised delegated authority with financial limits identified.

P/o's raised in accordance with authorised financial limitations.

Invoices 29/07/11 and 30/09/11 for Mazars verified.

All activities carried out in accordance with pre planned Procurement management arrangements.

## Education -Abigail Creighton

The Approval of Education programmes is subject to the Approval Process 003117/004 03/10/11. The organisation are currently involved in some 600 Education Programmes.

Sampled process via the Approval of Greenwich Paramedic Science 3 year degree programme.

Request Form on website submitted by Greenwich with request form completed March 2010.

Start date of programme 10/01/2011.

Executive Officer assigned Ruth Wood

Required documents received 16th-19th July 2010 and passed on to those undertaking the approval initial visit.

Visit arranged 14th-15th Sept 2010 to undertake gap analysis against approval criteria. 57 conditions required.

Visit undertaken and a visitors report produced with recommendation to approve programme

All activities are carried out in accordance with Approval Process 003117/004

## Assessment Participants

On behalf of the organisation:

| Name              | Position                    |
|-------------------|-----------------------------|
| Roy Dunn          | Management Representative   |
| Tom Berrie        | Information Service Manager |
| Sam Ha            | HR Coordinator              |
| Gary Butler       | Finance Director            |
| Abigail Creighton | Education                   |

The assessment was conducted on behalf of BSI by:

| Name       | Position    |
|------------|-------------|
| John Doyle | Team leader |

## Continuing Assessment

The programme of continuing assessment is detailed below.

| Site Address   | Certificate Reference/Visit Cycle |            |
|--|-----------------------------------|------------|
| Health Professions Council<br>Park House<br>184 Kennington Park Road<br>London<br>SE11 4BU<br>United Kingdom | FS 83074                          |            |
|  | Visit interval:                   | 6 months   |
|  | Visit duration:                   | 7 hours    |
|  | Next re-certification:            | 01/04/2013 |

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

|   |                  | Visit 1 | Visit 2 | Visit 3 | Visit 4 | Visit 5 | Visit 6 |
|---|------------------|---------|---------|---------|---------|---------|---------|
| Business area/Location                    | Date (mm/yy):    | 10/10   | 04/11   | 10/11   | 04/12   | 10/12   | 04/13   |
|   | Duration (days): | 1       | 1       | 1       | 1       | 1       | 1       |
| Registrations UK                          |                  | ✓       |         |         |         |         |         |
| Registrations International               |                  |         | ✓       |         |         |         |         |
| Registrations Grand parenting             |                  |         |         |         | ✓       |         |         |
| 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                                    |                  | ✓       |         |         |         |         |         |
| Work Environment and Infrastructure       |                  |         | ✓       |         |         |         |         |

## Next Visit Plan

### Visit objectives:

The objective of the assessment is to verify conformity to ISO9001:2008:requirements and the organisation's own management system.

### Visit scope:

As per plan

| Date       | Assessor | Time  | Area/Process  | Clause |
|------------|----------|-------|---|--------|
| 13/04/2012 |          | 09.00 | Opening Meeting<br>Changes since last BSI visit   |        |
|            |          | 09.30 | Quality documentation. Objectives,<br>Management Review, Internal Audits,<br>Corrective/Preventative Action |        |
|            |          | 10.30 | Registrations Grand parenting   |        |
|            |          | 11.30 | Fitness to Practice   |        |
|            |          | 12.30 | Lunch   |        |
|            |          | 13.00 | Secretariat   |        |
|            |          | 15.00 | Report Writing  |        |
|            |          | 16.00 | 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.

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