

Internal Audit

1. Audit overview

1.1	Audit Date or Incident Date	01/02/2017
	Auditor	Kayleigh Birtwistle / Roy Dunn
	Last audited date	DD/MM/YYYY
	Date report was issued	23/02/2017
	Internal Audit ISO9001	<input checked="" type="checkbox"/>
	Internal Audit ISO27001	<input checked="" type="checkbox"/>
	Internal Audit ISO10002	<input type="checkbox"/>
	Department	Registrations Dept Mgmt team
	Processes or tasks being audited	Registrations Dept Business Continuity Plan use
	Process owner	Director of Operations & Head of Registration
	People audited	Registrations Dept Mgmt team
1.2	Reason or aims of audit - Summary	Test usage of new BCM application in Reg dept
1.14	Nonconformities issued	0 (Quantity)
1.15	Observations made	0 (Quantity)
1.16	Signature and date of person being audited and in receipt of report including non-conformities	Signature: _____ Date: _____

1. Summary of Audit

This test was designed to see how the new DR plan 'Shadow Planner' worked in a real life disaster scenario and how the users were able to navigate the app.

The Registration Management team were taken through a similar scenario to the test carried out with EMT and decision points were noted at the pivotal moments new information was received.

As a result of the test, the department need to make several changes to their plan, which better reflect their prime processes depending on the time of year.

2. Previous audit areas / subjects for resolution

N/A

3. Observations and nonconformities

N/A

5. Glossary

Frequently used internal audit terms;

QMS	Quality Management System
QM	Quality Manager
QCA	Quality Compliance Auditor
ISMS	Information Security Management System
ISO9001	Quality Management Standard
ISO10002	Quality Management, Complaints Management Standard
ISO27001	Information Security Standard
ISO27002	Set of published standard controls for Information Security

6. Root cause analysis

N/A

A1. Audit reason

This audit forms part of the annual cycle of internal audits, and follows a risk based approach. Key departmental processes were audited against the current set located in the HCPC QMS.

The organisational DR plan, must be tested at least yearly, with departments ensuring their plans still relate to current BAU.

A2. Reference documents and data sources used in operational activity

Registration Action Plan, located in Shadow Planner

A3. Risk Register for audit area

A4. Audit areas – evidence and narrative

Business Continuity Exercise Registration Dept Management – 2017

This business continuity test for the registration department is designed to evaluate how one of the larger operational departments uses the Shadow Planner application (Plan in Your Pocket). A scenario used in a previous test has been updated to allow the test to be as realistic as possible.



Overview for observers

Following commencement of the supporting engineering works for the extension to the Northern Line, the join to the existing Northern Line tunnels is underway in the Kennington area.



However when the manual excavation of the 6.5 m high box around the tunnel join was underway, beneath the junction of Stannary Street, Methley Street and Ravensdon Street a previously dried up underground river course (part of the underground River Effra) see below, had been breached in error.



Break through into such gravel channels is highly dangerous during tunnelling, and usually requires freezing of the area before tunnelling commences. Wash out of this meandering gravel bed has resulted in cracks appearing in numerous buildings local to the area of HCPC's offices, and the Northern line has been temporarily suspended. Subsurface washouts have resulted in broken water mains, further antagonising the problem.

The HCPC EMT are in transit to an international Health Regulation Conference in Brazil where most are involved in Key Note addresses as one of the world's leading Health and Social work regulators.

The period in which the following incidents below take place is during the final week of renewal for the Physiotherapy profession, therefore there are numerous phone calls that need to be answered by the registration department for the renewal of Physiotherapists.

The Conservative government have decided to require the regulation of Health Care Assistants, and the Social Care workforce following further high profile incidents. As the government is generally not in favour of additional regulation, it has reluctantly decided on a new model, where by two current regulators can offer regulation services to the new profession. The best regulator (most cost effective) will attract more new registrants for these new professions.

During this period, the Education Department has been working along with the current independent training organisations and the NMC to take on the new "profession" in which many meetings had been arranged to take place at the HCPC with the Health Care Assistants

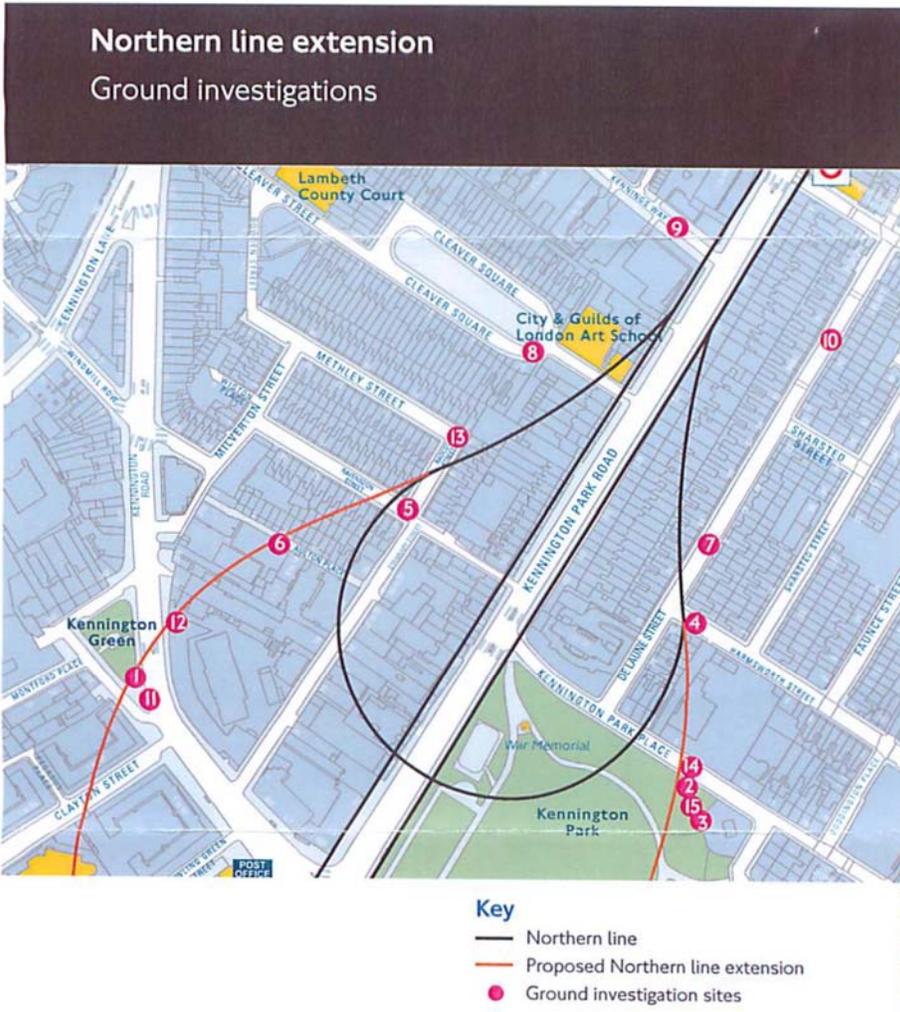
& Social Care workers to discuss the transfer of the new profession to either the NMC or HCPC. HCPC is the regulator with the lowest fees, so HCPC expect to take the bulk of the new registrants when they transfer.

Lastly, these flooding and associated issues, have fallen into place during the time the Finance Department were about to run a 6 month direct debit collection for the Physiotherapists, thus if the payments are not collected, the business has missed out on a major revenue stream coming into the business.



The gantry marks the surface expression of where the new tunnel, and the existing loop tunnel meet. A 6.5m high box will be excavated underground around the existing tunnel by hand, to facilitate the junction of the two tunnels. New Austrian Tunnelling Method, (NATM) dig a tunnel, spray with stabilising concrete then place new structural panels at a later time; is being used. This is the method that failed at Heathrow Airport

in 1994.



Initial information for BCM/DR test participants

“Transport for London” announce a temporary suspension to the Charring Cross and City Branches of the Northern Line.

Transport for London

The manual tunnelling around the join between the existing Northern Line Kennington Loop, and the new Battersea extension tunnels has broken into a underground section of the River Effra, that has subsequently collapsed. Pumping out of the ground around the collapse has continued with estimated thousands of tons of gravel and liquefied clay being dumped into the Thames as the only way of removing the material fast enough to prevent the whole of the subsurface Northern Line flooding. This is using the rest of the River Effra that drains directly into the Thames.



Local Manhole covers have been loosened after flooding

Local news channels have shown reports of telecommunications engineers saying “It looks like someone has put a sandblasting jet down all of the inspection covers and filled the pipework with gravel and clay. Now it is drying out the only way to remove it is to either dig up all of the pipework and replace it, or flood the pipework and hope it softens up, so it can be washed out along the pipes. Either way is going to take months, if not years”

BT and other contractors estimate replacement of the damaged optical fibre and copper cables will take in excess of four months.

All cable based communications have failed, and the last overnight back up of NetRegulate did not complete.

Detail on incident

Cracks have appeared in the back of 20 Stannary Street (back of 184 KPR) running from the windows up the walls, and continue to propagate. This suggests continuing loss of support in the foundations. The cracks have also been reported to have been seen spreading across

local residences across the Kennington area suggesting the foundations in which these buildings were built on are being undermined.



The water mains supplying Kennington are no longer in operation, thus, this has caused a failure of all toilets, bathrooms and kitchens across the area. The Workplace Regulations 1992 states that no business facilities are allowed to be in operation if toilet and washing facilities are not available.

The organisation Thames Water have estimated duration of 3 months to repair the damage as they need to drain out the flooded sub surfaced gravel beds which is time consuming.



During the suspension and the evacuation of the underground tube stations, panic began to arise as people were told the seriousness of this suspension due to the collapsing surface gravel beds. Pedestrians began to push and shove their way off trains and out of the stations which caused many injuries. Three Hearings Officers employed by the HCPC have been reported as possible casualties as they have been spotted being trampled on by other rushing pedestrians whilst making their way to work.



The tunnel flood in Kennington has caused the trains and bus services to be suspended until further notice. People who are in the Kennington area that wish to travel now need to walk to Brixton to travel via cab services, which is away from the northern line engineering works.



Sequential material to be provided to Reg Mgmt as the incident evolves.

Twitter is a messaging system that can push information to Smartphone devices.

BACKGROUND

Weather: wintery conditions with freezing / deep frost overnight

The building work for the Northern Line Extension to Battersea has commenced, and progress has been good. Extensive evaluation of the local geology along the route (over 100 boreholes) has revealed numerous localised gravel beds which are generally saturated with water. However, the drilling project freezes the ground adjacent to where the tunnelling machine is operating to hold back any water that could potentially flood the tunnelling works. In this way tunnelling through the gravel beds is possible. Different technology would be used for the control of flowing water as opposed to fixed water in gravel beds.

Twitter Message Situation Info #1 Elapsed time 1 ½ hours since incident. @ HCPC

A burst water main has flooded workings in sub surfaced gravel beds.
Telecommunications via BT pipework are currently down.

Twitter Message Situation Info #2 Elapsed time 2 ½ hours since incident.

Water has climbed through previous test drill holes made in 2013 and taken out BT telecoms.
Cracks are also appearing in buildings local to the area suggesting unstable foundations in the SE11 area.

Twitter Message Situation Info #3 Elapsed time 3 ½ hours since incident.

Northern line has been suspended and evacuation of the tube commences due to the flooding of the underground workings which could spread to the northern line tubes.

Twitter Message Situation Info #4 Elapsed time 3 ½ hours since incident.

Telecoms engineers report clean-up of the pipes may take months, if not years.
Replacements of the damaged optical fibre and copper cables will take in excess of four months.

Twitter Message Situation Info #5 Elapsed time 4 hours since incident.

All toilet, washing and kitchen facilities dependant on the damaged water main in the Kennington area are no longer in operation. No form of water in kitchens and toilets will accessible at the HCPC till the water main is repaired

Twitter Message Situation Info #6 Elapsed time 4 ½ hours since incident.

Cracks have appeared at the back of 184 and are dangerously spreading. Kennington area being evacuated due to potential building collapses.

Twitter Message Situation Info #7 Elapsed time 4 ½ hours since incident.

The Kennington area will not be ideal for operations to continue, HCPC will need to find temporary accommodation for the next 4 – 12 months.

Twitter Message Situation Info #8 Elapsed time 5 hours since incident.

10 Casualties reported, 3 of those are believed to be Hearings officers that were trampled on by the stampede during the evacuation of Kennington tube station on their way to work

Twitter Message Situation Info #9 Elapsed time 5 ½ hours since incident.

No trains or buses in the Kennington area active. Anyone wishing to travel will need to walk to Brixton which is away from the Northern line hole workings and get a cab to their destinations

Twitter Message Situation Info #10 Elapsed time 6 ½ hours since incident.

Due to the Kennington area being unsuitable for operations to take place, businesses may be offered assistance in finding temporary accommodation where possible.

Check List of key processes

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The RMT discussed what actions they would take through each part in the scenario. When the first message came through

A5. ISO 27001 audits Information Assets used

Daisy Shadow Planner / Plan In Your Pocket application – HCPC content