

Audit Committee 21 June 2012

Extracts from risk register

Executive summary and recommendations

### **Introduction**

The attached extracts from the risk register relate to the risks owned by the Director of Education, the Director of Fitness to Practise and the Head of Registration. These are provided for reference during the following three verbal presentations from these risk owners.

### **Decision**

The Committee is asked to discuss the risks as part of the following three items.

### **Background information**

On 26 September 2008, the Committee agreed to receive presentations from risk owners at each meeting. The Committee currently receives presentations from three risk owners at each meeting.

### **Resource implications**

None.

### **Financial implications**

None.

### **Appendices**

Extracts from risk register relating to risks owned by the Director of Education; Director of Fitness to Practise; and the Head of Registration.

### **Date of paper**

28 May 2012.

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RISK ASSESSMENT January 2012

Education

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations January 2012	Likelihood before mitigations January 2012	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation January 2012	RISK score after Mitigation July 2011
7	Education	7.1	Failure to detect low education providers standards Links to 1.1, 4.3, 6.4	Director of Education	4	2	8	Approvals & Monitoring processes	Regular training of employees and visitors	Complaints about an approved programme process	Low	Low
		7.2	Education providers refusing visits or not submitting data Links to 1.1	Director of Education	3	1	3	Legal powers (HPO 2001)	Delivery of Education Dpt supporting activities as documented in regular work plan	-	Low	Low
		7.3	Inability to conduct visits and monitoring tasks Links to 1.1, 6.1, 11.2 & 11.3	Director of Education	4	2	8	Adequate resourcing, training and visit scheduling	Approvals & monitoring processes	Temporary staff hire to backfill or clear work backlogs	Low	Low
		7.4	Loss of support from Education Providers Links to 1.1, 14.2	Chief Executive or Director of Education	5	1	5	Delivery of Education strategy as documented in regular work plan	Partnerships with Visitors and professional groups.	Publications, Newsletters, website content, inclusion in consultations and relevant PLGs, consultations with education providers	Low	Low
		7.5	Education database failure	Director of IT	3	2	6	Effective backup and recovery processes	In house skills to support system	DR/BC tests	Low	Low

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Fitness to Practise

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations January 2012	Likelihood before mitigations January 2012	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation January 2012	RISK score after Mitigation July 2011
13	Fitness to Practise	13.1	Legal cost over-runs Links to 13.4, 15.2	FTP Director	4	4	16	Processes and strict arrangements with law firm suppliers	Professional Indemnity Insurance	Good process management for arranging hearings	Low	Low
		13.3	Tribunal exceptional costs, FTP, Registrations and CPD Appeals	FTP Director	5	5	25	Quality of operational processes	Quality of legal advice	Legal insurance covering exceptional High Court and Judicial Review costs	High	High
		13.4	Rapid increase in the number of tribunals and resultant legal costs Links to 13.1	FTP Director	3	3	9	Accurate and realistic budgeting	Resource planning	-	Low	Low
		13.5	Witness non-attendance	FTP Director	4	2	8	Vulnerable witness provisions in the legislation	Witness support programme	Witness summons	Low	Low
		13.6	Employee/Partner physical assault by Hearing attendees	FTP Director	5	5	25	Advice sought from the Police	Adequate facilities security	Periodic use of security contractors and other steps	Low	Low
		13.7	High Number of Registration Appeals	FTP Director & Director of Operations, Head of Registrations	3	5	15	Training and selection of Registration Assessors, so reasoned decisions are generated	Quality of operational processes	-	Low	Low
		13.8	Backlog of FTP cases	FTP Director	3	4	12	Annual reforecasting budget processes	Monthly management reporting	Quality of operational processes	Low	Low
		13.9	Excessive cases per Case Manager workload	FTP Director	3	4	12	Annual reforecasting budget processes	Monthly management reporting		Low	Low

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Registrations

Ref	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)	Impact before mitigations January 2012	Likelihood before mitigations January 2012	Risk Score = Impact x Likelihood	Mitigation I	Mitigation II	Mitigation III	RISK score after Mitigation January 2012	RISK score after Mitigation July 2011
10	Registration	10.1	Customer service failures	Director of Operations, Head of Registration	5	5	25	Accurate staffing level forecasts	Adequate staff resourcing & training	Supporting automation infrastructure eg call centre systems, LISA system enhancements, registration re-structure	Low	Low
			Links to 11.1, 11.2									
		10.2	Protracted service outage following a NetRegulate Registration system failure	Director of IT	5	3	15	Effective backup and recovery procedures	Maintenance and support contracts for core system elements.	Annual IT Continuity tests	Low	Low
			Links to 5.1-5.3 and 17.1									
		10.3	Inability to detect fraudulent applications	Director of Operations, Head of Registration	5	2	10	Financial audits, system audit trails	Policy and procedures supported by internal quality audits & specialized external Risk Management guidance	Regular, automatic password changes	Low	Low
			Links to 9.1, 17.1 and 17.2									
		10.4	Backlogs of registration and GP applns	Director of Operations, Head of Registration	4	3	12	Adequate staffing levels maintained to clear backlogs, based on accurate demand-forecasting	Process streamlining	-	Low	Low
			Links to 1.1									
		10.5	Mistake in the Registration process leading to liability for compensation to Registrant or Applicant	Director of Operations, Head of Registration	5	2	10	Financial audits, system audit trails	Professional indemnity insurance. Excess £2.5K. Limit £1M. (Doesn't cover misappropriation of funds)	Policy and procedures supported by ISO quality audits and process controls/checks	Low	Low
18	CPD	18.1 (7.5)	CPD processes not effective	Director of Operations, Head of Registrations	4	2	8	Well documented processes	Appropriately trained members of the registrations team	Monitor and regulator feedback to the Education & Training Committee	Low	Low