

HEALTH PROFESSIONS COUNCIL

RISK ASSESSMENT March 2003

Ref	Category	Description	Mitigation I	Status	Mitigation II	Status	Mitigation III	Status	Status Possibility of Occurrence
1	Strategic	1.1 HPC fails to deliver OIC	Delivery of HPC Strategic Intent	O	Publication of Privy Council annual report	TBC			Low
		1.2 Unexpected change in UK legislation	Relationship with Government departments	O	Lobbying	O			Low
		1.3 Incompatible OIC and EU legislation	Monitoring of EU	O	EU lobbying	O			High
		1.4 CRHP conflict	President on CRHP Council	O	Communications	O			Low
		1.5 Privy Council rejects fee increase	Communications strategy	O	Flexible Budgetary Control	O			Low
		2	Operations	2.1 Park House unoccupiable	Disaster recovery plan and rehearsal	TBC	Fire safety policy and procedures Availability of safety equipment Alarms	TBC C O	
2.2 Inability to access Park House	Disaster recovery plan and rehearsal			TBC	Training	O			Low
2.3 Rapid increase in registrant numbers	IT Strategy – LISA			O	Park House renovation	O		Contingency plans	High
2.4 Unacceptable service standards	Processes manual Appointment of Quality Director			O	ISO 2002 accreditation	O			Medium
2.5 Long term postal disruption	Website			O	Direct debits	O			Low
2.6 Long term public transport disruption	Disaster recovery plan			TBC					

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			HR Strategy		Rules concerning acceptance of hospitality, etc.	TBC		High
5	IT	4.6 Improper financial incentives offered to employees		O				
		5.1 Virus attack	Firewalls	O	Adherence to IT policy and procedures and training	O	External reviews	Occurring
		5.2 Technology obsolescence, HW & SW	Open system IT strategy	O	Capital investment	O	External reviews	Medium
		5.3 IT fraud or error	Control procedures in place	C	Regular password change	O	Daily backup	Medium
6	Partners	6.1 Inability to recruit and/or retain Partners	Rolling list of suitable candidates	O	HR Strategy: Appropriate compensation package in place	C		Medium
		7.1 Non-detection of low HEI standards	Communication and consultation	O				Medium
		7.2 Setting standards too high	Council review of Education & Training and Registration Committee work	O				Low
7	Education	7.3 Institutions refusing visits or submitting data	Legal powers	C				Low
		8.1 Registration system failure	IT strategy	TBC	Capital investment	O	Disaster recovery	Medium
		8.2 Inability to detect fraudulent applications	Experience	O	Policy and procedures	O		Medium
		8.3 Registrant boycott of fee increase	Communications strategy	O				Medium
8	Registration	8.4 Backlogs of registration and Grandparenting	IT Strategy	O	Flexible staffing levels	C		Medium

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9	HR	<p>9.1 Loss of key employees</p> <p>9.2 High turnover of employees</p> <p>9.3 Inability to recruit employees</p> <p>9.4 Lack of skills to deliver strategy</p> <p>9.5 Safety of employees</p> <p>9.6 Lack of work/home balance</p> <p>9.7 Ex-employee termination litigation</p> <p>9.8 Bullying</p> <p>9.9 Employee/employee inappropriate behaviour</p> <p>9.10 Mismanagement of and misconduct on visits</p>	<p>Succession planning</p> <p>Pay and HR strategy</p> <p>HR strategy</p> <p>HR strategy & G&Os</p> <p>Policy and procedures Park House security</p> <p>Sufficient staff</p> <p>HR legislation</p> <p>Policy and procedures</p> <p>Policy and procedures</p> <p>HR Strategy on selection</p>	<p>TBC</p> <p>C</p> <p>O</p> <p>TBC</p> <p>TBC C</p> <p>O</p> <p>C</p> <p>TBC</p> <p>TBC</p> <p>O</p>	<p>Internal promotion policy</p> <p>Quality of work environment</p> <p>Communications</p> <p>Investors in People</p> <p>Training</p> <p>Training</p> <p>Compromise agreements</p> <p>External free advice</p> <p>Training</p>	<p>O</p> <p>O</p> <p>O</p> <p>TBC</p> <p>O</p> <p>O</p> <p>TBC</p> <p>C</p> <p>O</p>	<p>Key employee insurance</p> <p>Training</p>	<p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p> <p>Medium</p>
10	Legal	<p>10.1 Judicial reviews of tribunals – exceptional costs</p> <p>10.2 Judicial review of Rules and/or Standards</p> <p>10.3 Tribunal exceptional costs</p>	<p>Insurance for exceptional costs</p> <p>Consultation</p> <p>Annual and Five Year Forecasts</p>	<p>C</p> <p>O</p> <p>TBC</p>	<p>Monitoring</p> <p>Appropriate legal advice</p> <p>Budgetary control</p>	<p>O</p> <p>O</p> <p>C</p>	<p>Medium</p> <p>High</p> <p>Medium</p>	

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		Plan							Medium
	10.4 Unexpected increase in number of tribunals and resultant legal costs								Medium
	10.5 Witness non-attendance	Tribunal questionnaire Witness support policy	TBC		Focus Groups	O			Low
	10.6 Council members, employees and Partners legal costs	Processes	TBC		Personal Indemnity Insurance (Council and Partners)	C			Medium
	10.7 Incorrect interpretation of law and/or SIs	Legal advice availability	O						Low
	10.8 Legal challenge to HPC operations	Amend government legislation	O		Communications	O			Low
	10.9 Losing a case around withholding or withdrawing approval of a course or not registering an applicant	Legal advice availability	O		Robust procedures	TBC			Low
11	Financial								
	11.1 Cash shortfall	Appropriate level of cash reserves	O		Annual and Five Year Plan	TBC		Monitoring	Low
	11.2 Unexpected reduction in income	Appropriate level of cash reserves	O		Inform Privy Council	O		Budgetary control of expenditure	Low
	11.3 Unexpected rise in operating expenses	Set and monitor annual and Five Year Budget	C		Financial cash reserves	O		Budgetary control	Medium
	11.4 Loss in value of cash reserves	Match portfolio risk to financial strategy	C		Council monitoring, benchmarking and budgetary control	O		Professional advice	Occurring
	11.5 Inability to pay creditors	Overdraft facility	O		Budgetary control	C			Low

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		11.6 Inability to collect from debtors	Policy and procedures	C	Correct revenue recognition		Low
		11.7 Total receipt of correct fee income	IT Controls in place	O		O	Low
12	Accounting	12.1 Unauthorised payments to organizations	External and Internal Audit PO Enforcement	O O	Financial policy and processes Limited authorized suppliers Tendering processes in place	C C C	Medium Low
		12.2 Unauthorised payments to personnel	External and Internal Audit	O	Financial policy and processes	C	Medium
		12.3 Unauthorised removal of assets	Policy and procedures	C	Asset register	C	Low
		12.4 Mis-signing of cheques	Review of cheque signatories	O	Bank control	O	Low
13	Pensions	13.1 Unfunded pension liabilities	Money purchase scheme	C	Frequency of review and actuarial valuation	O	High

STATUS:	TBC	To be completed
	C	Completed
	O	Ongoing