

RISK ASSESSMENT

The Committee is required to review the Risk Assessment document on a 6-monthly basis. The most up to date version is appended.

HEALTH PROFESSIONS COUNCIL

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Ref	Category	Description	Mitigation I	Status	Mitigation II	Status	Mitigation III	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		Medium
		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		Low
		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	Medium
		2.4 Unacceptable service standards	Processes manual Appointment of Quality Director	O	ISO accreditation	O		Medium
		2.5 Long term postal disruption	Website	O	Direct debits	O		High
		2.6 Long term public transport disruption	Disaster recovery plan	TBC				Medium

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		2.7 Inability to accommodate staff	Investigate premises	O	Park House renovation	O		Medium
		2.8 Long term disruption to telephones	Disaster recovery plan	TBC				Low
3	Communications	3.1 Failure to inform public	Delivery of communications strategy	O	Annual awareness survey	TBC		High
		3.2 Loss of support of professions	Delivery of communications strategy	O				High
		3.3 Loss of support from HEIs	Delivery of communications strategy	O	Privy Council	O		Medium
		3.4 Impact of other regulatory failures	Strategic Intent	O				Low
		3.5 Inability to inform stakeholders following crisis	PR crisis management plan	TBC				Medium
4	Corporate Governance	4.1 Council inability to make decisions	Voting procedures in place	C				Low
		4.2 Council members Conflict of Interest	Annual report	TBC	Publication of annual returns	TBC	Notification procedures	Low
		4.3 Failure to meet Council and Committee quorums	Quality of Council members	O	Number of meetings	C		Low
		4.4 Members' poor performance	President's annual appraisal of members	TBC				Low
		4.5 Maverick CEO and/or President	Annual review Appraisal system	O	Standing orders	C	Dismissal	Low

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		4.6 Improper financial incentives offered to employees	HR Strategy	O	Rules concerning acceptance of hospitality, etc.	TBC		Low
5	IT	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	Education	7.1 Non-detection of low HEI standards	Communication and consultation	O	Approval process	O		Medium
		7.2 Setting standards too high	Council review of Education & Training and Registration Committee work	O				Low
		7.3 Institutions refusing visits or submitting data	Legal powers	C				Low
8	Registration	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
		8.4 Backlogs of registration and Grandparenting	IT Strategy	O	Flexible staffing levels	C		Medium

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

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		10.4 Unexpected increase in number of tribunals and resultant legal costs	Plan	O				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 investment portfolio	Match portfolio risk to financial strategy	C	Council monitoring, benchmarking and budgetary control	O	Professional advice	High
		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				Low
		11.7 Total receipt of correct fee income	IT Controls in place	O	Correct revenue recognition	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	Limited authorised suppliers	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 Underfunded pension liabilities	Money purchase scheme	C	Frequency of review and actuarial valuation	O	External advice	High

STATUS:	TBC	To be completed
	C	Completed
	O	Ongoing