

Audit Committee 28 November 2012

Extracts from January 2012 risk register

Executive summary and recommendations

At its meeting on 21 June 2012, the Committee agreed that, as risk owners made presentations on their risks over the next year, the Committee should receive a copy of the previous iteration of the relevant parts of the risk register. This would enable it to review the impact of the regulation of social workers in England on the register.

The extracts from the January 2012 risk register showing risks owned by the Facilities Manager, the Director of Human Resources and the Secretary to the Council are attached. This iteration of the register was considered by the Committee at its meeting on 13 March 2012.

Decision

The Committee may wish to refer to these extracts during the verbal presentations from the risk owners at today's meeting.

Background information

Audit Committee minutes, 21 June 2012 – item 18.

Resource implications

None

Financial implications

None.

Appendices

Extracts from January 2012 risk register:

- (1) Facilities
- (2) Human Resources
- (3) Secretary to the Council

Date of paper

1 October 2012.

THE HEALTH PROFESSIONS COUNCIL
RISK ASSESSMENT January 2012

Operations

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
2	Operations	2.1	Inability to occupy premises or use interior equipment	Facilities Manager	4	2	8	Invoke Disaster Recovery/Business Continuity plan	Commercial combined insurance cover (fire, contents, terrorism etc)	-	Low	Low
		2.2	Rapid increase in registrant numbers Links to 1.2, 13.4	Chief Executive and EMT	3	5	15	Scaleable business processes and scalable IT systems to support them	Influence the rate at which new professions are regulated		Low	Low
		2.3	Unacceptable service standards Links to 9.1, 10.4	Director of Operations	5	4	20	ISO 9001 Registration, process maps, well documented procedures & BSI audits	Hire temporary employees to clear service backlogs		Low	Low
		2.4	Inability to communicate via postal services (e.g. Postal strikes)	Facilities Manager	4	4	16	Use of other media including Website, newsletter & email and courier services	Invoke Disaster Recovery Plan	Collection of >80% income fees by DD	Medium	Medium
		2.5	Public transport disruption leading to inability to use Park House	Facilities Manager & Head Bus Proc	4	5	20	Contact employees via Disaster Recovery Plan process	Make arrangements for employees to work at home if possible	-	Low	Low
		2.6	Inability to accommodate HPC employees Links to 5.2	Facilities Manager	4	3	12	Ongoing Space planning	Additional premises purchase or rented		Low	Low
		2.7	Interruption to electricity supply	Facilities Manager	4	4	16	Relocate to other buildings on site	If site wide longer than 24 hours invoke DR Plan		High	High
		2.8	Interruption to gas supply	Facilities Manager	1	2	2	Temporary heaters to impacted areas			Low	Low
		2.9	Interruption to water supply	Facilities Manager	2	2	4	Reduce consumption	Temporarily reduce headcount to align with legislation	Invoke DR plan if over 24 hrs	Low	Low
		2.10	Telephone system failure causing protracted service outage	Director of IT	4	3	12	Support and maintenance contract for hardware and software of the ACD and PABX	Backup of the configuration for both the ACD and PABX	Diverse routing for the physical telephone lines from the two exchanges with different media types	Low	Low
		2.11	Basement flooding	Facilities Manager	4	4	16	Flood barrier protection to prevent ingress			Medium	Medium
		2.12	Significant disruption to UK transport network by environmental extremes e.g. snow, rain, ash; civil unrest or industrial action	Director of Operations & Head Bus Proc	3	2	6	Use of alternate low risk networks	Use of video or teleconferencing facility to achieve corum	Invoke Disaster Recovery/Business Continuity plan	Low	Low
		2.13	Disruption due to 2012 Olympic & Para Olympic Games	Director of Operations & Director of Human Resources, Head Bus Proc	4	4	16	Analysis of employee data vs. venue location disruption	Invoke Disaster Recovery/Business Continuity plan		Low	Low

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RISK ASSESSMENT January 2012

Finance

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15.12	Unauthorised removal of assets (custody issue)	Facilities Manager	3	2	6	IT asset labeling & asset logging (issuance to employees)	Fixed Asset register itemising assets. Job exit procedures (to recover HPC laptops, blackberries, mobile phones etc). Regular audits. Whistleblowing policy.	Professional Indemnity & fidelity (fraud) insurance for first £100k of loss. Computer asset insurance.	Low	Low

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HR

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11	HR	11.1	Loss of key HPC employees	Chair, Chief Executive and EMT	4	4	16	Chief Executive succession plan held by HR Director. Succession planning generally.	Departmental training (partial or full) and process documentation		Low	Low
		11.2	High turnover of employees Links to 11.3	HR Director	3	2	6	Remuneration and HR strategy	Regular performance reviews	Exit interview analysis	Low	Low
		11.3	Inability to recruit suitable employees Links to 4.10, 6.1, 11.2, 11.8	HR Director	2	2	4	HR Strategy and adequate resourcing of the HR dept	Careful specification of recruitment adverts and interview panel selection	Hire skilled temporary staff in the interim	Low	Low
		11.4	Lack of technical and managerial skills to delivery the strategy Links to 1.1	Chief Executive	4	3	12	HR strategy and goals and objectives (buy in the skills v staff upskilling on the job v training)	Training needs analysis & training delivery	Some projects or work initiatives delayed or outsourced	Low	Low
		11.5	Health & Safety of employees Links to 4.9, 6.3	Chief Executive & Facilities Manager	5	4	20	Health & Safety Training, policies and procedures	H&S Assessments (Lawrence, Webster Forrest).	Personal Injury & Travel insurance	Low	Low
		11.6	High sick leave levels	EMT	2	3	6	Adequate staff (volume and type) including hiring temporary staff	Return to work interviews and sick leave monitoring	Regular progress reviews	Low	Low
		11.7	Employee and ex-employee litigation	HR Director	4	3	12	Regular one on one sessions between manager and employee and regular performance reviews.	HR legislation and HR disciplinary policies	Employee surveys, Exit interviews	Low	Low
		11.8	Employer/employee inappropriate behaviour Links to 11.3	HR Director	4	4	16	Whistle blowing policy, Code of Conduct & Behaviour	Other HR policy and procedures	Employee Assistance programme	Low	Low
		11.9	Non-compliance with Employment legislation	HR Director	5	2	10	HR Strategy	Obtain legislation updates and legal advice	HR policies and Manager training	Low	Low

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Corporate Governance

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4	Corporate Governance	4.1	Council inability to make decisions Links to 4.4	Secretary to Council	3	1	3	Regular meetings, agendas and clear lines of accountability between Council and committees	Well researched and drafted decision papers at meetings	Attendance by external professionals as required	Low	Low
		4.2	Council members conflict of interest	Chair	4	4	16	Disclosure of members' interests to the Secretariat and ongoing Council & committee agenda item	Annual reminder to update Register of Interests	Member induction and training	Low	Low
		4.3	Poor decision-making eg conflicting advice or conflicting advice and decisions	Chair	4	1	4	Well-researched & drafted decision papers, Clear lines of accountability and scheme of delegation	Chair's involvement in the appointments process for lay members, induction and relevant training	Attendance by external professionals, as required.	Low	Low
		4.4	Failure to meet Council/Committee quorums Links to 4.1	Secretary to Council	4	3	12	Clear communication of expectations of Council members' duties upfront	Adequate processes notifying Council & committee members of forthcoming meetings prior to meeting including confirmation of attendance	Committee secretaries and chairmen advised that inquorate meetings must not proceed	Low	Low
		4.5	Members' poor performance	Chair	4	1	4	Appointment against competencies	Annual appraisal of Council members	Removal under Sch 1, Para 9(1)(f) of the HPO 2001	Low	Low
		4.6	Poor performance by the Chair	Council	5	1	5	Appointment against competencies	Power to remove the Chair under Sch 1, Article 12(1) C of the HPO 2001	-	Low	Low
		4.7	Poor performance by Chief Executive	Chair	5	1	5	Performance reviews and regular "one to ones" with the Chair	Contract of Employment	-	Low	Low
		4.8	Improper financial incentives offered to Council members/employees	Chair and Chief Executive	4	2	8	Gifts & Inducements policy	Council member code of conduct	Induction training re: adherence to Nolan principles	Low	Low
		4.9	Failure to insure the Health & Safety of Council Members Links to 6.3, 11.5	Secretary to Council & Facilities Manager	4	2	8	Safety briefing at start of each Council or Committee meeting.	H&S information on Council Extranet	Personal Injury and Travel insurance	Low	Low
		4.10	Member recruitment problem (with the requisite skills) Links to 6.1, 11.13	Chair	4	2	8	Maintenance of a detailed role description for these positional applicants on to HPC or its committees	Use of the Appointments Commission or Commissioner to recruit new members	Use of the Office of Public Appointments for advice (on recruitment of the requisite skills)	Low	Low
		4.11	Expense claim abuse by members	Secretary to Council	4	2	8	Members Code of Conduct (public office)	Clear and comprehensive policies posted on the Council member Extranet and made clear during induction	Budget holder review and authorisation procedures	Low	Low
		4.12	Operationalise Section 60 legislation	Council	5	2	10	Scheme of delegation	MIS	EMT & CDT	Low	Low
		4.13	Failure to comply with DPA 1998 or FOIA 2000, leading to ICO action	Secretary to Council	3	3	9	Legal advice	Clear ISO processes		Low	Low

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Policy & Standards

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	14.5	PLG member recruitment without requisite skills and knowledge	Policy & Stds Director HPC Chair, Secretary to Council(?)	4	1	4	Skills and knowledge identified in work plan	Recruitment policy	Council Scrutiny of PLG result	Low	Low
		Lnks to 4.10									

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	15.16	Late submission of the Annual Report, beyond sector standards	Secretary to Council	3	1	3	Upfront agreement on the Year End and Annual Report reporting process dates. Committee approval of the Audit Plan(s).	Effective process management	-	Low	Low