

Audit Committee, 24 June 2014

Risk Assurance Mapping and Strategic Objectives

Executive summary and recommendations

### **Introduction**

At the Audit Committee meeting of 20<sup>th</sup> March 2014 Audit Committee were considering possible enhancements to the risk management process at HCPC. The following minute relates to this discussion.

7.3 *The Committee discussed assurance mapping. It was agreed that the Executive would present a paper to the June Audit Committee, setting out its recommendations in whether such an exercise is appropriate for the HCPC. It was noted that the NAO could provide the HCPC with examples of Assurance Maps.*

***ACTION: Head of Business Process Improvement to present a report on assurance mapping to the June Audit Committee.***

NAO have supplied a sample Assurance Map, (Appendix 1). An analysis of the NHS BSA role and scale suggests that this type of approach would be disproportionate to the scale and role of HCPC. Strategic objectives have been mapped to risks and will be validated by risk owners in time for the Autumn Audit Committee meeting.

### **Decision**

In considering the benefits of assurance mapping, it has been concluded that this approach would provide no additional assurance at HCPC, and would require additional resources to maintain, and use. Therefore it is suggested that this additional layer is not produced. Audit Committee is requested to approve the decision.

Audit Committee is requested to discuss the attached draft strategic objective vs. risk options and agree the required version. (Appendix 2 & 3)

### **Resource implications**

None if proposed solution is used

### **Financial implications**

None if proposed solution is used

## **Appendices**

Appendix 1 NHS Business Services Authority is attached as an A3 document.

Appendix 2 Strategic Objectives by risk – draft

Appendix 3 Risks by Strategic Objectives – draft

## **Date of paper**

17 June 2014

## **Risk Register assurance mapping and mapping of Strategic Objectives to Risks**

Whilst the requirement for risk management is well understood at HCPC, the suggestion of an additional layer of assurance would appear excessive, when compared to the budget and scope of organisations undertaking much more intense approaches. (An example was provided by NAO from the NHS Business Services Authority – See Appendix 1)

NHS BSA has multiple roles, has a much larger budget and number of employees, with proportionally increased risk or opportunity for failure. A section from the NHS BSA Annual Report for 2012-2013 is reproduced here to illustrate its scale.

“The NHSBSA is a Special Health Authority (SHA) which operates as an Arms Length Body (ALB) of the Department of Health (DH). Our role is to provide a range of critical central services to NHS organisations, NHS contractors, NHS patients and the general public. These services are:

- management of the NHS Pension Scheme in England and Wales which has over 2.6 million members and receives contributions of circa £9 billion per annum;
- administration of the European Health Insurance Card (EHIC) scheme (in the UK) processing over 5.3 million EHIC cards per annum. Currently approximately 23.5 million people in the UK have an active EHIC card;
- management of a ten-year outsourced Master Services Agreement (a specific contract type) for the delivery of supply chain services to the NHS, supporting the planned delivery of around £1 billion of savings to the NHS over the life of the agreement;
- payments to pharmacists (in England) for prescriptions dispensed in primary care settings (circa 1 billion prescription items with payments circa £9 billion per annum);
- payments to dentists for work undertaken on NHS contracts (44 million dental forms with payments totalling £2.2 billion) in England and Wales;
- provision of management information to over 25,000 registered NHS and DH users on costs and trends in prescribing and dental care in England and Wales;
- management of the NHS Student Bursaries scheme (in England) making payments of circa £510 million to over 82,000 students;
- management of the Social Work Bursaries scheme (in England) making payments of over £82 million to nearly 14,000 students;
- management of the Education Support Grant making payments of £31 million;
- management of the NHS Injury Benefit Scheme (in England and Wales) processing over 30,000 applications since the inception of the Scheme;
- provision of HR Shared Service functions and Hosted Employment Services for 8,500 staff, and
- provision of NHS Protect Services (in England and Wales) under a Memorandum of Understanding (MoU) with the DH”.

The diverse activities of NHS BSA, understandably requires additional assurance outside a risk register, as levels of assurance will vary across different line of business areas.

HCPC, on the other hand is much more focused on the delivery of a register of health and care professionals, and the processes supporting new entrants to the register, maintenance of the register, and removal or other proportionate controls on registrants as required.

HCPC take a top down and bottom up approach, revalidating existing risks and mitigations on a six monthly basis. New risks can be added to the register at any time, or existing risks adjusted, following validation by the EMT.

Risk owners present their risks and mitigations to the Audit Committee on a rolling programme, and individual risks can be discussed in detail.

The NAO are thanked for the assurance mapping example provided.

The EMT feel the Assurance Mapping approach provides no additional assurance, and would require additional resources to maintain, and use. Therefore it is suggested that this additional layer is not produced.

### **Additional assurance information. Mapping Strategic Objectives to Risks**

A draft mapping of Strategic Objectives for each risk has been undertaken, by the BPI department and noted in the attached documents.

Appendix 2 Strategic Objectives by risk - draft

Appendix 3 Risks by Strategic Objectives – draft

Validation of the Strategic Objectives and the risks associated with those objectives by risk owners will be carried out at the next update of the risk register, (Summer 2014).

**Appendix 1** NHS Business Services Authority Assurance Map is attached as an A3 pdf document.



Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)
Strategic SO1.GG	1.1	HCPC fails to deliver SI Sec 6.2 & Health Bill	Council
Strategic SO1.GG SO2.EBP	1.6	Failure to abide by current Equality & Diversity legislation	Chief Executive
Operations SO1.GG SO2.EBP	2.1	Inability to occupy premises or use interior equipment	Facilities Manager
Operations SO1.GG SO2.EBP	2.3	Unacceptable service standards	Director of Operations
Operations SO1.GG SO2.EBP	2.4	Inability to communicate via postal services (e.g. Postal strikes)	Facilities Manager
Operations SO1.GG SO2.EBP	2.5	Public transport disruption leading to inability to use Park House	Facilities Manager & Head Bus Proc
Operations SO1.GG SO2.EBP	2.6	Inability to accommodate HCPC employees	Facilities Manager
Operations SO1.GG SO2.EBP	2.7	Interruption to electricity supply	Facilities Manager
Operations SO1.GG SO2.EBP	2.8	Interruption to gas supply	Facilities Manager
Operations SO1.GG SO2.EBP	2.9	Interruption to water supply	Facilities Manager
Operations SO1.GG SO2.EBP	2.10	Telephone system failure causing protracted service outage	Director of IT
Operations SO1.GG SO2.EBP	2.11	Basement flooding	Facilities Manager
Operations SO1.GG SO2.EBP	2.12	Significant disruption to UK transport network by environmental extremes e.g . snow, rain, ash; civil unrest or industrial action; disrupts planned external activities	Director of Operations & Head Bus Proc
Operations SO1.GG	2.14 (formerly 11.5)	Health & Safety of employees	Chief Executive & Facilities Manager
Operations SO1.GG SO2.EBP	2.15	Expenses abuse by Partners not prevented	Director of FTP, Director of Education, Head of Registration, Partner Manager
Communications SO3.Com SO1.GG SO2.EBP	3.5	Publication of material not approved for release	Director of Comms
Corporate Governance SO1.GG	4.1	Council inability to make decisions	Secretary to Council & Chair
Corporate Governance SO1.GG	4.2	Council members conflict of interest	Chair
Corporate Governance SO1.GG SO4.Evid	4.3	Poor decision-making eg conflicting advice or conflicting advice and decisions	Chair

<b>Corporate Governance SO1.GG SO2.EBP</b>	4.4	Failure to meet Council/Committee quorums	Secretary to Council
<b>Corporate Governance SO1.GG</b>	4.5	Members' poor performance	Chair
<b>Corporate Governance SO1.GG</b>	4.6	Poor performance by the Chair	Council
<b>Corporate Governance SO1.GG</b>	4.7	Poor performance by Chief Executive	Chair
<b>Corporate Governance SO1.GG</b>	4.8	Improper financial incentives offered to Council members/employees	Chair and Chief Executive
<b>Corporate Governance SO1.GG</b>	4.9	Failure to ensure the Health & Safety of Council Members	Secretary to Council , Facilities Manager & Finance Director
<b>Corporate Governance SO1.GG</b>	4.10	Member recruitment problem (with the requisite skills)	Chair
<b>Corporate Governance SO1.GG</b>	4.11	Expense claim abuse by members	Secretary to Council
<b>Corporate Governance SO1.GG SO2.EBP</b>	4.12	Operationalise Section 60 legislation	Council
<b>Corporate Governance SO1.GG SO2.EBP</b>	4.13	Failure to comply with DPA 1998 or FOIA 2000, leading to ICO action	Secretary to Council
<b>Corporate Governance SO1.GG</b>	4.14	Transition to smaller Council	Chair & Secretary to Council
<b>Corporate Governance SO1.GG</b>	4.15	Failure to adhere to the requirements of the Bribery Act 2010	Chair & Secretary to Council
<b>IT SO2.EBP SO1.GG</b>	5.1	Software Virus damage	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.2	Technology obsolescence, (Hard/SoftWare)	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.3	Fraud committed through IT services	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.4	Failure of IT Continuity Provision	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.5	Malicious damage from unauthorised access	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.6	Data service disruption (via utility action)	Director of IT
<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.1	Inability to recruit and retain suitable Partners	Partner Manager
<b>Partners SO1.GG</b>	6.2	Incorrect interpretation of law and/or SI's resulting in PSAHSE review	Director of FTP, Director of Education, Head of Registration, Partner Manager
<b>Partners SO1.GG SO2.EBP</b>	6.3	Health & Safety of Partners	Partner Manager

<b>Partners SO1.GG SO2.EBP</b>	6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager
<b>Partners SO1.GG</b>	6.5	Incorrect interpretation of HSWPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager
<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration
<b>Partners SO1.GG SO2.EBP</b>	6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration
<b>Education SO4.Evid SO1.GG</b>	7.1	Failure to detect low education providers standards	Director of Education
<b>Education SO1.GG</b>	7.5	Education database failure	Director of IT
<b>Education SO4.Evid SO2.EBP SO1.GG</b>	7.6	Loss or significant change to funding, commissioning and placement opportunities for approved programmes	Director of Education
<b>Project Management SO1.GG SO2.EBP</b>	8.1	Fee change processes not operational by required date	Director of Finance Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation	Project Lead Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP</b>	8.13	Failure to deliver a system & process review of the Education department	Director of Education Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP</b>	8.14	Failure to deliver a system & w of the HR & Partners departments	Director of HR Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP</b>	8.15	Professional Indemnity Insurance. Unable to delivery statutory requirements	Director of Operations & Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.16	Annotation of the Register. Failure to deliver statutory requirements	Director of Operations & Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP</b>	8.17	Organisation wide resourcing may impact project delivery	EMT & Project Portfolio Manager
<b>Quality Management. SO1.GG SO2.EBP</b>	9.1	Loss of ISO 9001:2008 Certification	Director of Operations, Head of Business Improvement
<b>Quality Management. SO1.GG SO2.EBP</b>	9.2	Employees non-compliance with established Standard Operating Procedures	EMT



<b>Registration SO1.GG SO2.EBP SO3.Com</b>	10.1	Customer service failures	Director of Operations, Head of Registration
<b>Registration SO1.GG SO2.EBP</b>	10.3	Inability to detect fraudulent applications	Director of Operations, Head of Registration
<b>Registration SO1.GG SO2.EBP</b>	10.4	Backlogs of registration and applications	Director of Operations, Head of Registration
<b>Registration SO1.GG SO2.EBP</b>	10.5	Mistake in the Registration process leading to liability for compensation to Registrant or Applicant	Director of Operations, Head of Registration
<b>HR SO1.GG SO2.EBP</b>	11.1	Loss of key HCPC employees	Chair, Chief Executive and EMT
<b>HR SO1.GG SO2.EBP</b>	11.2	High turnover of employees	HR Director
<b>HR SO1.GG SO2.EBP</b>	11.3	Inability to recruit suitable employees	HR Director
<b>HR SO1.GG SO2.EBP</b>	11.4	Lack of technical and managerial skills to delivery the strategy	Chief Executive
<b>HR SO1.GG SO2.EBP</b>	11.6	High sick leave levels	EMT
<b>HR SO1.GG</b>	11.7	Employee and ex-employee litigation	HR Director
<b>HR SO1.GG SO2.EBP</b>	11.8	Employer/employee inappropriate behaviour	HR Director
<b>HR SO1.GG SO2.EBP</b>	11.9	Non-compliance with Employment legislation	HR Director
<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.2	Legal challenge to HCPC operations	Chief Executive
<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.1	Legal cost over-runs	FTP Director
<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.3	Tribunal exceptional costs	FTP Director
<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.4	Rapid increase in the number of allegations and resultant legal costs	FTP Director
<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.5	Witness non-attendance	FTP Director
<b>Fitness to Practise SO1.GG</b>	13.6	Employee/Partner physical assault by Hearing attendees	FTP Director

<b>Fitness to Practise</b> SO2.EBP SO1.GG	13.7	High Number of Registration Appeals	FTP Director & Director of Operations, Head of Registrations
<b>Fitness to Practise</b> SO2.EBP SO1.GG	13.8	Backlog of FTP cases	FTP Director
<b>Fitness to Practise</b> SO2.EBP SO1.GG	13.9	Excessive cases per Case Manager workload	FTP Director
<b>Fitness to Practise</b> SO2.EBP SO1.GG	13.10	Protracted service outage following a Case Management System failure	Director of IT
<b>Policy &amp; Standards</b> SO1.GG SO2.EBP SO4.Evid SO3.Com	14.1	Incorrect process followed to establish stds/guidance/policy eg no relevant Council decision	Policy & Stds Director
<b>Policy &amp; Standards</b> SO3.Com SO2.EBP SO1.GG	14.2	Inappropriate stds/guidance published eg stds are set at inappropriate level, are too confusing or are conflicting	Council/committees
<b>Policy &amp; Standards</b> SO1.GG SO4.Evid	14.3	Changing/evolving legal advice rendering previous work inappropriate	Policy & Stds Director
<b>Policy &amp; Standards</b> SO1.GG	14.5	PLG member recruitment without requisite skills and knowledge	Policy & Stds Director HCPC Chair, Secretary to Council(?)
<b>Policy &amp; Standards</b> SO1.GG SO2.EBP SO4.Evid SO3.Com	14.6	Loss of Corporate Memory	Policy & Stds Director
<b>Finance</b> SO1.GG SO2.EBP	15.1	Insufficient cash to meet commitments	Finance Director
<b>Finance</b> SO1.GG SO2.EBP	15.2	Unexpected rise in operating expenses	EMT
<b>Finance</b> SO1.GG SO2.EBP	15.3	Major Project Cost Over-runs	Project Lead / EMT
<b>Finance</b> SO1.GG SO2.EBP	15.5	Inability to pay creditors	Finance Director
<b>Finance</b> SO1.GG SO2.EBP	15.6	Inability to collect from debtors	Finance Director
<b>Finance</b> SO1.GG SO2.EBP	15.7	Registrant Credit Card record fraud/theft	Finance Director
<b>Finance</b> SO1.GG SO2.EBP	15.8	Receipt of fee income as per collection schedule	Finance Director

<b>Finance SO1.GG SO2.EBP</b>	15.9	Mismatch between Council goals & approved financial budgets	Chief Executive
<b>Finance SO1.GG SO2.EBP</b>	15.10	Unauthorised payments to organisations	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.11	Unauthorised payments to personnel	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.12	Unauthorised removal of assets (custody issue)	Facilities Manager
<b>Finance SO1.GG SO2.EBP</b>	15.13	Mis-signing of cheques (forgery)	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.14	Non compliance with FReM reporting	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.15	Qualified opinion received by the Auditors on the Statutory Financial Statements	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.16	Late submission of the Annual Report, beyond sector standards	Secretary to Council
<b>Finance SO1.GG SO2.EBP</b>	15.18	PAYE/NI compliance	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.19	Corporation tax compliance (tax due on investment income only)	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.20	Bank insolvency or fraud	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.21	Financial distress of trade suppliers causes loss of service	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.22	Payroll process delay or failure	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.23	PSA full cost recovery model places excessive pressure on HCPC April 2013 onwards	Chief Executive & Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.24	Failure to adhere to Procurement and Tendering requirements outside OJEU process	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.25	Failure to adhere to OJEU Procurement and Tendering requirements where over thresholds	Finance Director
<b>Pensions SO1.GG SO2.EBP</b>	16.2	Non compliance with pensions legislation	Finance Director
<b>Pensions SO1.GG SO2.EBP</b>	16.3	Capita Flexiplan funding liability resulting from scheme valuation deficiency	Finance Director
<b>Information Security SO1.GG SO2.EBP</b>	17.1	Electronic data is removed inappropriately by an employee	Director of IT
<b>Information Security SO1.GG SO2.EBP</b>	17.2	Document & Paper record Data Security	EMT; Head of Business Improvement

Information Security SO1.GG SO2.EBP	17.3	Loss of electronic data	EMT, Director of IT and Director of Operations
Information Security SO1.GG SO2.EBP	17.4	Data received from third parties	Director of Ops, and Director of FTP
Information Security SO1.GG SO2.EBP	17.5	Loss of physical data despatched to and held by third parties for the delivery of their services	Director of Ops and Hd of Business Process Improv
Information Security SO1.GG SO2.EBP	17.6	Loss of Registrant personal data by the registration system (NetRegulate) application support provider in the performance of their support services (specific risk).	Director of IT and Director of Operations
<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the ongoing risk)</b>
Strategic SO1.GG SO2.EBP	1.6	Failure to abide by current Equality & Diversity legislation	Chief Executive
Operations SO1.GG SO2.EBP	2.1	Inability to occupy premises or use interior equipment	Facilities Manager
Operations SO2.EBP	2.2	Rapid increase in registrant numbers	Chief Executive and EMT
Operations SO1.GG SO2.EBP	2.3	Unacceptable service standards	Director of Operations
Operations SO1.GG SO2.EBP	2.4	Inability to communicate via postal services (e.g. Postal strikes)	Facilities Manager
Operations SO1.GG SO2.EBP	2.5	Public transport disruption leading to inability to use Park House	Facilities Manager & Head Bus Proc
Operations SO1.GG SO2.EBP	2.6	Inability to accommodate HCPC employees	Facilities Manager
Operations SO1.GG SO2.EBP	2.7	Interruption to electricity supply	Facilities Manager
Operations SO1.GG SO2.EBP	2.8	Interruption to gas supply	Facilities Manager
Operations SO1.GG SO2.EBP	2.9	Interruption to water supply	Facilities Manager
Operations SO1.GG SO2.EBP	2.10	Telephone system failure causing protracted service outage	Director of IT
Operations SO1.GG SO2.EBP	2.11	Basement flooding	Facilities Manager
Operations SO1.GG SO2.EBP	2.12	Significant disruption to UK transport network by environmental extremes e.g . snow, rain, ash; civil unrest or industrial action; disrupts planned external activities	Director of Operations & Head Bus Proc

<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.3	Inability to inform stakeholders following crisis	Director of Comms
<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.4	Failure to inform Registrants Article 3 (13)	Director of Comms
<b>Communications SO3.Com SO1.GG SO2.EBP</b>	3.5	Publication of material not approved for release	Director of Comms
<b>Corporate Governance SO1.GG SO2.EBP</b>	4.4	Failure to meet Council/Committee quorums	Secretary to Council
<b>Corporate Governance SO1.GG SO2.EBP</b>	4.12	Operationalise Section 60 legislation	Council
<b>Corporate Governance SO1.GG SO2.EBP</b>	4.13	Failure to comply with DPA 1998 or FOIA 2000, leading to ICO action	Secretary to Council
<b>IT SO2.EBP SO1.GG</b>	5.1	Software Virus damage	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.2	Technology obsolescence, (Hard/SoftWare)	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.3	Fraud committed through IT services	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.4	Failure of IT Continuity Provision	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.5	Malicious damage from unauthorised access	Director of IT
<b>IT SO2.EBP SO1.GG</b>	5.6	Data service disruption (via utility action)	Director of IT
<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.1	Inability to recruit and retain suitable Partners	Partner Manager
<b>Partners SO1.GG SO2.EBP</b>	6.3	Health & Safety of Partners	Partner Manager
<b>Partners SO1.GG SO2.EBP</b>	6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager
<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration
<b>Partners SO1.GG SO2.EBP</b>	6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration
<b>Education SO3.Com SO2.EBP</b>	7.2	Education providers refusing visits or not submitting data	Director of Education
<b>Education SO3.Com SO2.EBP</b>	7.3	Inability to conduct visits and monitoring tasks	Director of Education
<b>Education SO3.Com SO2.EBP</b>	7.4	Loss of support from Education Providers	Chief Executive or Director of Education

<b>Education SO4.Evid SO2.EBP SO1.GG</b>	7.6	Loss or significant change to funding, commissioning and placement opportunities for approved programmes	Director of Education
<b>Project Management SO1.GG SO2.EBP</b>	8.1	Fee change processes not operational by required date	Director of Finance Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation	Project Lead Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP</b>	8.13	Failure to deliver a system & process review of the Education department	Director of Education Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP</b>	8.14	Failure to deliver a system & w of the HR & Partners departments	Director of HR Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP</b>	8.15	Professional Indemnity Insurance. Unable to delivery statutory requirements	Director of Operations & Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.16	Annotation of the Register. Failure to deliver statutory requirements	Director of Operations & Project Portfolio Manager
<b>Project Management SO1.GG SO2.EBP</b>	8.17	Organisation wide resourcing may impact project delivery	EMT & Project Portfolio Manager
<b>Quality Management. SO1.GG SO2.EBP</b>	9.1	Loss of ISO 9001:2008 Certification	Director of Operations, Head of Business Improvement
<b>Quality Management. SO1.GG SO2.EBP</b>	9.2	Employees non-compliance with established Standard Operating Procedures	EMT
<b>Registration SO1.GG SO2.EBP SO3.Com</b>	10.1	Customer service failures	Director of Operations, Head of Registration
<b>Registration SO2.EBP SO3.Com</b>	10.2	Protracted service outage following a NetRegulate Registration system failure	Director of IT
<b>Registration SO1.GG SO2.EBP</b>	10.3	Inability to detect fraudulent applications	Director of Operations, Head of Registration
<b>Registration SO1.GG SO2.EBP</b>	10.4	Backlogs of registration and applications	Director of Operations, Head of Registration
<b>Registration SO1.GG SO2.EBP</b>	10.5	Mistake in the Registration process leading to liability for compensation to Registrant or Applicant	Director of Operations, Head of Registration
<b>CPD SO2.EBP SO4.Evid</b>	10.6 (18.1-7.5)	CPD processes not effective	Director of Operations, Head of Registration
<b>HR SO1.GG SO2.EBP</b>	11.1	Loss of key HCPC employees	Chair, Chief Executive and EMT

HR SO1.GG SO2.EBP	11.2	High turnover of employees	HR Director
HR SO1.GG SO2.EBP	11.3	Inability to recruit suitable employees	HR Director
HR SO1.GG SO2.EBP	11.4	Lack of technical and managerial skills to delivery the strategy	Chief Executive
HR SO1.GG SO2.EBP	11.6	High sick leave levels	EMT
HR SO1.GG SO2.EBP	11.8	Employer/employee inappropriate behaviour	HR Director
HR SO1.GG SO2.EBP	11.9	Non-compliance with Employment legislation	HR Director
Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.1	Judicial review of HCPC's implimentation of HSWPO including Rules, Standards & Guidance	Chief Executive
Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.2	Legal challenge to HCPC operations	Chief Executive
Fitness to Practise SO2.EBP SO1.GG	13.1	Legal cost over-runs	FTP Director
Fitness to Practise SO2.EBP SO1.GG	13.3	Tribunal exceptional costs	FTP Director
Fitness to Practise SO2.EBP SO1.GG	13.4	Rapid increase in the number of allegations and resultant legal costs	FTP Director
Fitness to Practise SO2.EBP SO1.GG	13.5	Witness non-attendance	FTP Director
Fitness to Practise SO2.EBP SO1.GG	13.7	High Number of Registration Appeals	FTP Director & Director of Operations, Head of Registrations
Fitness to Practise SO2.EBP SO1.GG	13.8	Backlog of FTP cases	FTP Director
Fitness to Practise SO2.EBP SO1.GG	13.9	Excessive cases per Case Manager workload	FTP Director
Fitness to Practise SO2.EBP SO1.GG	13.10	Protracted service outage following a Case Management System failure	Director of IT
Policy & Standards SO1.GG SO2.EBP SO4.Evid SO3.Com	14.1	Incorrect process followed to establish stds/guidance/policy eg no relevant Council decision	Policy & Stds Director

<b>Policy &amp; Standards SO3.Com SO2.EBP SO1.GG</b>	14.2	Inappropriate stds/guidance published eg stds are set at inappropriate level, are too confusing or are conflicting	Council/committees
<b>Policy &amp; Standards SO1.GG SO2.EBP SO4.Evid SO3.Com</b>	14.6	Loss of Corporate Memory	Policy & Stds Director
<b>Finance SO1.GG SO2.EBP</b>	15.1	Insufficient cash to meet commitments	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.2	Unexpected rise in operating expenses	EMT
<b>Finance SO1.GG SO2.EBP</b>	15.3	Major Project Cost Over-runs	Project Lead / EMT
<b>Finance SO1.GG SO2.EBP</b>	15.5	Inability to pay creditors	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.6	Inability to collect from debtors	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.7	Registrant Credit Card record fraud/theft	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.8	Receipt of fee income as per collection schedule	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.9	Mismatch between Council goals & approved financial budgets	Chief Executive
<b>Finance SO1.GG SO2.EBP</b>	15.10	Unauthorised payments to organisations	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.11	Unauthorised payments to personnel	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.12	Unauthorised removal of assets (custody issue)	Facilities Manager
<b>Finance SO1.GG SO2.EBP</b>	15.13	Mis-signing of cheques (forgery)	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.14	Non compliance with FReM reporting	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.15	Qualified opinion received by the Auditors on the Statutory Financial Statements	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.16	Late submission of the Annual Report, beyond sector standards	Secretary to Council
<b>Finance SO1.GG SO2.EBP</b>	15.18	PAYE/NI compliance	Finance Director
<b>Finance SO1.GG SO2.EBP</b>	15.19	Corporation tax compliance (tax due on investment income only)	Finance Director



Finance SO1.GG SO2.EBP	15.20	Bank insolvency or fraud	Finance Director
Finance SO1.GG SO2.EBP	15.21	Financial distress of trade suppliers causes loss of service	Finance Director
Finance SO1.GG SO2.EBP	15.22	Payroll process delay or failure	Finance Director
Finance SO1.GG SO2.EBP	15.23	PSA full cost recovery model places excessive pressure on HCPC April 2013 onwards	Chief Executive & Finance Director
Finance SO1.GG SO2.EBP	15.24	Failure to adhere to Procurement and Tendering requirements outside OJEU process	Finance Director
Finance SO1.GG SO2.EBP	15.25	Failure to adhere to OJEU Procurement and Tendering requirements where over thresholds	Finance Director
Pensions SO1.GG SO2.EBP	16.2	Non compliance with pensions legislation	Finance Director
Pensions SO1.GG SO2.EBP	16.3	Capita Flexiplan funding liability resulting from scheme valuation deficiency	Finance Director
Information Security SO1.GG SO2.EBP	17.1	Electronic data is removed inappropriately by an employee	Director of IT
Information Security SO1.GG SO2.EBP	17.2	Document & Paper record Data Security	EMT; Head of Business Improvement
Information Security SO1.GG SO2.EBP	17.3	Loss of electronic data	EMT, Director of IT and Director of Operations
Information Security SO1.GG SO2.EBP	17.4	Data received from third parties	Director of Ops, and Director of FTP
Information Security SO1.GG SO2.EBP	17.5	Loss of physical data despatched to and held by third parties for the delivery of their services	Director of Ops and Hd of Business Process Improv
Information Security SO1.GG SO2.EBP	17.6	Loss of Registrant personal data by the registration system (NetRegulate) application support provider in the performance of their support services (specific risk).	Director of IT and Director of Operations
<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the ongoing risk)</b>
Strategic SO5.IPA SO3.Com SO6.HmCty	1.2	Unexpected change in UK legislation	Chief Executive
Strategic SO3.Com	1.4	Failure to maintain a relationship with PSA (formerly CHRE)	Chief Executive & Chair
Strategic SO3.Com SO6.HmCty	1.5	Loss of reputation	Chief Executive & Chair

<b>Communications SO3.Com SO1.GG</b>	3.1	Failure to inform public Article 3 (13)	Director of Comms
<b>Communications SO5.IPA SO3.Com</b>	3.2	Loss of support from Key Stake holders including professional bodies, employers or government	Director of Comms
<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.3	Inability to inform stakeholders following crisis	Director of Comms
<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.4	Failure to inform Registrants Article 3 (13)	Director of Comms
<b>Communications SO3.Com SO1.GG SO2.EBP</b>	3.5	Publication of material not approved for release	Director of Comms
<b>Education SO3.Com SO2.EBP</b>	7.2	Education providers refusing visits or not submitting data	Director of Education
<b>Education SO3.Com SO2.EBP</b>	7.3	Inability to conduct visits and monitoring tasks	Director of Education
<b>Education SO3.Com SO2.EBP</b>	7.4	Loss of support from Education Providers	Chief Executive or Director of Education
<b>Registration SO1.GG SO2.EBP SO3.Com</b>	10.1	Customer service failures	Director of Operations, Head of Registration
<b>Registration SO2.EBP SO3.Com</b>	10.2	Protracted service outage following a NetRegulate Registration system failure	Director of IT
<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.2	Legal challenge to HCPC operations	Chief Executive
<b>Policy &amp; Standards SO1.GG SO2.EBP SO4.Evid SO3.Com</b>	14.1	Incorrect process followed to establish stds/guidance/policy eg no relevant Council decision	Policy & Stds Director
<b>Policy &amp; Standards SO3.Com SO2.EBP SO1.GG</b>	14.2	Inappropriate stds/guidance published eg stds are set at inappropriate level, are too confusing or are conflicting	Council/committees
<b>Policy &amp; Standards SO1.GG SO2.EBP SO4.Evid SO3.Com</b>	14.6	Loss of Corporate Memory	Policy & Stds Director

Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)
Corporate Governance SO1.GG SO4.Evid	4.3	Poor decision-making eg conflicting advice or conflicting advice and decisions	Chair
Education SO4.Evid SO1.GG	7.1	Failure to detect low education providers standards	Director of Education
Education SO4.Evid SO2.EBP SO1.GG	7.6	Loss or significant change to funding, commissioing and placement opportunities for approved programmes	Director of Education
CPD SO2.EBP SO4.Evid	10.6 (18.1-7.5)	CPD processes not effective	Director of Operations, Head of Registration
Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.1	Judicial review of HCPC's implimentation of HSWPO including Rules, Standards & Guidance	Chief Executive
Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.2	Legal challenge to HCPC operations	Chief Executive
Policy & Standards SO1.GG SO2.EBP SO4.Evid SO3.Com	14.1	Incorrect process followed to establish stds/guidance/policy eg no relevant Council decision	Policy & Stds Director
Policy & Standards SO1.GG SO4.Evid	14.3	Changing/evolving legal advice rendering previous work inappropriate	Policy & Stds Director
Policy & Standards SO1.GG SO2.EBP SO4.Evid SO3.Com	14.6	Loss of Corporate Memory	Policy & Stds Director
Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the ongoing risk)
Strategic SO5.IPA SO3.Com SO6.HmCty	1.2	Unexpected change in UK legislation	Chief Executive
Strategic SO5.IPA SO6.HmCty	1.3	Incompatible SI Sec 6.2 & Health Bill and EU legislation	Chief Executive
Communications SO5.IPA SO3.Com	3.2	Loss of support from Key Stake holders including professional bodies, employers or government	Director of Comms
Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.1	Judicial review of HCPC's implimentation of HSWPO including Rules, Standards & Guidance	Chief Executive

Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.2	Legal challenge to HCPC operations	Chief Executive
Policy & Standards SO5.IPA SO6.HmCty	14.4	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	EMT
<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the ongoing risk)</b>
Strategic SO5.IPA SO3.Com SO6.HmCty	1.2	Unexpected change in UK legislation	Chief Executive
Strategic SO5.IPA SO6.HmCty	1.3	Incompatible SI Sec 6.2 & Health Bill and EU legislation	Chief Executive
Strategic SO3.Com SO6.HmCty	1.5	Loss of reputation	Chief Executive & Chair
Communications SO3.Com SO2.EBP SO6.HmCty	3.3	Inability to inform stakeholders following crisis	Director of Comms
Communications SO3.Com SO2.EBP SO6.HmCty	3.4	Failure to inform Registrants Article 3 (13)	Director of Comms
Partners SO1.GG SO2.EBP SO6.HmCty	6.1	Inability to recruit and retain suitable Partners	Partner Manager
Partners SO1.GG SO2.EBP SO6.HmCty	6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration
Project Management SO1.GG SO2.EBP SO6.HmCty	8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation	Project Lead    Project Portfolio Manager
Project Management SO1.GG SO2.EBP SO6.HmCty	8.16	Annotation of the Register. Failure to deliver statutory requirements	Director of Operations & Project Portfolio Manager
Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.2	Legal challenge to HCPC operations	Chief Executive

<b>Policy &amp; Standards</b> <b>SO5.IPA</b> <b>SO6.HmCty</b>	14.4	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	EMT
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<b>Strategic Objective Name</b>	<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the on going risk)</b>
Good governance	<b>Strategic SO1.GG</b>	1.1	HCPC fails to deliver SI Sec 6.2 & Health Bill	Council
Good governance	<b>Strategic SO1.GG SO2.EBP</b>	1.6	Failure to abide by current Equality & Diversity legislation	Chief Executive
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.1	Inability to occupy premises or use interior equipment	Facilities Manager
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.3	Unacceptable service standards	Director of Operations
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.4	Inability to communicate via postal services (e.g. Postal strikes)	Facilities Manager
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.5	Public transport disruption leading to inability to use Park House	Facilities Manager & Head Bus Proc
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.6	Inability to accommodate HCPC employees	Facilities Manager
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.7	Interruption to electricity supply	Facilities Manager
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.8	Interruption to gas supply	Facilities Manager
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.9	Interruption to water supply	Facilities Manager
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.10	Telephone system failure causing protracted service outage	Director of IT
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.11	Basement flooding	Facilities Manager
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.12	Significant disruption to UK transport network by environmental extremes e.g. snow, rain, ash; civil unrest	Director of Operations & Head Bus Proc

			or industrial acton; disrupts planned external activities	
Good governance	<b>Operations SO1.GG</b>	2.14 (formerly11.5 )	Health & Safety of employees	Chief Executive & Facilities Manager
Good governance	<b>Operations SO1.GG SO2.EBP</b>	2.15	Expenses abuse by Partners not prevented	Director of FTP, Director of Education, Head of Registration, Partner Manager
Good governance	<b>Communication s SO3.Com SO1.GG SO2.EBP</b>	3.5	Publication of material not approved for release	Director of Comms
Good governance	<b>Corporate Governance SO1.GG</b>	4.1	Council inability to make decisions	Secretary to Council & Chair
Good governance	<b>Corporate Governance SO1.GG</b>	4.2	Council members conflict of interest	Chair
Good governance	<b>Corporate Governance SO1.GG SO4.Evid</b>	4.3	Poor decision- making eg conflicting advice or conflicting advice and decisions	Chair
Good governance	<b>Corporate Governance SO1.GG SO2.EBP</b>	4.4	Failure to meet Council/Committee quorums	Secretary to Council
Good governance	<b>Corporate Governance SO1.GG</b>	4.5	Members' poor performance	Chair
Good governance	<b>Corporate Governance SO1.GG</b>	4.6	Poor performance by the Chair	Council
Good governance	<b>Corporate Governance SO1.GG</b>	4.7	Poor performance by Chief Executive	Chair
Good governance	<b>Corporate Governance SO1.GG</b>	4.8	Improper financial incentives offered to Council members/employee s	Chair and Chief Executive
Good governance	<b>Corporate Governance SO1.GG</b>	4.9	Failure to ensure the Health & Safety of Council Members	Secretary to Council , Facilities Manager & Finance Director

Good governance	<b>Corporate Governance SO1.GG</b>	4.10	Member recruitment problem (with the requisite skills)	Chair
Good governance	<b>Corporate Governance SO1.GG</b>	4.11	Expense claim abuse by members	Secretary to Council
Good governance	<b>Corporate Governance SO1.GG SO2.EBP</b>	4.12	Operationalise Section 60 legislation	Council
Good governance	<b>Corporate Governance SO1.GG SO2.EBP</b>	4.13	Failure to comply with DPA 1998 or FOIA 2000, leading to ICO action	Secretary to Council
Good governance	<b>Corporate Governance SO1.GG</b>	4.14	Transition to smaller Council	Chair & Secretary to Council
Good governance	<b>Corporate Governance SO1.GG</b>	4.15	Failure to adhere to the requirements of the Bribery Act 2010	Chair & Secretary to Council
Good governance	<b>IT SO2.EBP SO1.GG</b>	5.1	Software Virus damage	Director of IT
Good governance	<b>IT SO2.EBP SO1.GG</b>	5.2	Technology obsolescence, (Hard/SoftWare)	Director of IT
Good governance	<b>IT SO2.EBP SO1.GG</b>	5.3	Fraud committed through IT services	Director of IT
Good governance	<b>IT SO2.EBP SO1.GG</b>	5.4	Failure of IT Continuity Provision	Director of IT
Good governance	<b>IT SO2.EBP SO1.GG</b>	5.5	Malicious damage from unauthorised access	Director of IT
Good governance	<b>IT SO2.EBP SO1.GG</b>	5.6	Data service disruption (via utility action)	Director of IT
Good governance	<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.1	Inability to recruit and retain suitable Partners	Partner Manager
Good governance	<b>Partners SO1.GG</b>	6.2	Incorrect interpretation of law and/or SI's resulting in PSAHSE review	Director of FTP, Director of Education, Head of Registration, Partner Manager
Good governance	<b>Partners SO1.GG SO2.EBP</b>	6.3	Health & Safety of Partners	Partner Manager
Good governance	<b>Partners SO1.GG SO2.EBP</b>	6.4	Partners poor performance	Director of FTP, Director of Education, Head of



				Registration, Partner Manager
Good governance	<b>Partners SO1.GG</b>	6.5	Incorrect interpretation of HSWPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager
Good governance	<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration
Good governance	<b>Partners SO1.GG SO2.EBP</b>	6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration
Good governance	<b>Education SO4.Evid SO1.GG</b>	7.1	Failure to detect low education providers standards	Director of Education
Good governance	<b>Education SO1.GG</b>	7.5	Education database failure	Director of IT
Good governance	<b>Education SO4.Evid SO2.EBP SO1.GG</b>	7.6	Loss or significant change to funding, commissioning and placement opportunities for approved programmes	Director of Education
Good governance	<b>Project Management SO1.GG SO2.EBP</b>	8.1	Fee change processes not operational by required date	Director of Finance Project Portfolio Manager
Good governance	<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation	Project Lead Project Portfolio Manager
Good governance	<b>Project Management SO1.GG SO2.EBP</b>	8.13	Failure to deliver a system & process review of the Education department	Director of Education Project Portfolio Manager
Good governance	<b>Project Management SO1.GG SO2.EBP</b>	8.14	Failure to deliver a system & w of the HR & Partners departments	Director of HR Project Portfolio Manager

Good governance	<b>Project Management SO1.GG SO2.EBP</b>	8.15	Professional Indemnity Insurance. Unable to delivery statutory requirements	Director of Operations & Project Portfolio Manager
Good governance	<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.16	Annotation of the Register. Failure to deliver statutory requirements	Director of Operations & Project Portfolio Manager
Good governance	<b>Project Management SO1.GG SO2.EBP</b>	8.17	Organisation wide resourcing may impact project delivery	EMT & Project Portfolio Manager
Good governance	<b>Quality Management. SO1.GG SO2.EBP</b>	9.1	Loss of ISO 9001:2008 Certification	Director of Operations, Head of Business Improvement
Good governance	<b>Quality Management. SO1.GG SO2.EBP</b>	9.2	Employees non-compliance with established Standard Operating Procedures	EMT
Good governance	<b>Registration SO1.GG SO2.EBP SO3.Com</b>	10.1	Customer service failures	Director of Operations, Head of Registration
Good governance	<b>Registration SO1.GG SO2.EBP</b>	10.3	Inability to detect fraudulent applications	Director of Operations, Head of Registration
Good governance	<b>Registration SO1.GG SO2.EBP</b>	10.4	Backlogs of registration and applications	Director of Operations, Head of Registration
Good governance	<b>Registration SO1.GG SO2.EBP</b>	10.5	Mistake in the Registration process leading to liability for compensation to Registrant or Applicant	Director of Operations, Head of Registration
Good governance	<b>HR SO1.GG SO2.EBP</b>	11.1	Loss of key HCPC employees	Chair, Chief Executive and EMT
Good governance	<b>HR SO1.GG SO2.EBP</b>	11.2	High turnover of employees	HR Director
Good governance	<b>HR SO1.GG SO2.EBP</b>	11.3	Inability to recruit suitable employees	HR Director
Good governance	<b>HR SO1.GG SO2.EBP</b>	11.4	Lack of technical and managerial skills to delivery the strategy	Chief Executive
Good governance	<b>HR SO1.GG SO2.EBP</b>	11.6	High sick leave levels	EMT

Good governance	<b>HR SO1.GG</b>	11.7	Employee and ex-employee litigation	HR Director
Good governance	<b>HR SO1.GG SO2.EBP</b>	11.8	Employer/employee inappropriate behaviour	HR Director
Good governance	<b>HR SO1.GG SO2.EBP</b>	11.9	Non-compliance with Employment legislation	HR Director
Good governance	<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
Good governance	<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.2	Legal challenge to HCPC operations	Chief Executive
Good governance	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.1	Legal cost over-runs	FTP Director
Good governance	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.3	Tribunal exceptional costs	FTP Director
Good governance	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.4	Rapid increase in the number of allegations and resultant legal costs	FTP Director
Good governance	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.5	Witness non-attendance	FTP Director
Good governance	<b>Fitness to Practise SO1.GG</b>	13.6	Employee/Partner physical assault by Hearing attendees	FTP Director
Good governance	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.7	High Number of Registration Appeals	FTP Director & Director of Operations, Head of Registrations
Good governance	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.8	Backlog of FTP cases	FTP Director
Good governance	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.9	Excessive cases per Case Manager workload	FTP Director

Good governance	<b>Fitness to Practise</b> <b>SO2.EBP</b> <b>SO1.GG</b>	13.10	Protracted service outage following a Case Management System failure	Director of IT
Good governance	<b>Policy &amp; Standards</b> <b>SO1.GG</b> <b>SO2.EBP</b> <b>SO4.Evid</b> <b>SO3.Com</b>	14.1	Incorrect process followed to establish stds/guidance/policy eg no relevant Council decision	Policy & Stds Director
Good governance	<b>Policy &amp; Standards</b> <b>SO3.Com</b> <b>SO2.EBP</b> <b>SO1.GG</b>	14.2	Inappropriate stds/guidance published eg stds are set at inappropriate level, are too confusing or are conflicting	Council/committees
Good governance	<b>Policy &amp; Standards</b> <b>SO1.GG</b> <b>SO4.Evid</b>	14.3	Changing/evolving legal advice rendering previous work inappropriate	Policy & Stds Director
Good governance	<b>Policy &amp; Standards</b> <b>SO1.GG</b>	14.5	PLG member recruitment without requisite skills and knowledge	Policy & Stds Director HCPC Chair, Secretary to Council(?)
Good governance	<b>Policy &amp; Standards</b> <b>SO1.GG</b> <b>SO2.EBP</b> <b>SO4.Evid</b> <b>SO3.Com</b>	14.6	Loss of Corporate Memory	Policy & Stds Director
Good governance	<b>Finance SO1.GG</b> <b>SO2.EBP</b>	15.1	Insufficient cash to meet commitments	Finance Director
Good governance	<b>Finance SO1.GG</b> <b>SO2.EBP</b>	15.2	Unexpected rise in operating expenses	EMT
Good governance	<b>Finance SO1.GG</b> <b>SO2.EBP</b>	15.3	Major Project Cost Over-runs	Project Lead / EMT
Good governance	<b>Finance SO1.GG</b> <b>SO2.EBP</b>	15.5	Inability to pay creditors	Finance Director
Good governance	<b>Finance SO1.GG</b> <b>SO2.EBP</b>	15.6	Inability to collect from debtors	Finance Director
Good governance	<b>Finance SO1.GG</b> <b>SO2.EBP</b>	15.7	Registrant Credit Card record fraud/theft	Finance Director
Good governance	<b>Finance SO1.GG</b> <b>SO2.EBP</b>	15.8	Receipt of fee income as per collection schedule	Finance Director

Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.9	Mismatch between Council goals & approved financial budgets	Chief Executive
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.10	Unauthorised payments to organisations	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.11	Unauthorised payments to personnel	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.12	Unauthorised removal of assets (custody issue)	Facilities Manager
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.13	Mis-signing of cheques (forgery)	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.14	Non compliance with FReM reporting	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.15	Qualified opinion received by the Auditors on the Statutory Financial Statements	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.16	Late submission of the Annual Report, beyond sector standards	Secretary to Council
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.18	PAYE/NI compliance	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.19	Corporation tax compliance (tax due on investment income only)	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.20	Bank insolvency or fraud	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.21	Financial distress of trade suppliers causes loss of service	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.22	Payroll process delay or failure	Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.23	PSA full cost recovery model places excessive pressure on HCPC April 2013 onwards	Chief Executive & Finance Director
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.24	Failure to adhere to Procurement and	Finance Director

			Tendering requirements outside OJEU process	
Good governance	<b>Finance SO1.GG SO2.EBP</b>	15.25	Failure to adhere to OJEU Procurement and Tendering requirements where over thresholds	Finance Director
Good governance	<b>Pensions SO1.GG SO2.EBP</b>	16.2	Non compliance with pensions legislation	Finance Director
Good governance	<b>Pensions SO1.GG SO2.EBP</b>	16.3	Capita Flexiplan funding liability resulting from scheme valuation deficiency	Finance Director
Good governance	<b>Information Security SO1.GG SO2.EBP</b>	17.1	Electronic data is removed inappropriately by an employee	Director of IT
Good governance	<b>Information Security SO1.GG SO2.EBP</b>	17.2	Document & Paper record Data Security	EMT; Head of Business Improvement
Good governance	<b>Information Security SO1.GG SO2.EBP</b>	17.3	Loss of electronic data	EMT, Director of IT and Director of Operations
Good governance	<b>Information Security SO1.GG SO2.EBP</b>	17.4	Data received from third parties	Director of Ops, and Director of FTP
Good governance	<b>Information Security SO1.GG SO2.EBP</b>	17.5	Loss of physical data despatched to and held by third parties for the delivery of their services	Director of Ops and Hd of Business Process Improv
Good governance	<b>Information Security SO1.GG SO2.EBP</b>	17.6	Loss of Registrant personal data by the registration system (NetRegulate) application support provider in the performance of their support services (specific risk).	Director of IT and Director of Operations
<b>Strategic Objective Name</b>	<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the on going risk)</b>

Efficient Business processes	<b>Strategic SO1.GG SO2.EBP</b>	1.6	Failure to abide by current Equality & Diversity legislation	Chief Executive
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.1	Inability to occupy premises or use interior equipment	Facilities Manager
Efficient Business processes	<b>Operations SO2.EBP</b>	2.2	Rapid increase in registrant numbers	Chief Executive and EMT
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.3	Unacceptable service standards	Director of Operations
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.4	Inability to communicate via postal services (e.g. Postal strikes)	Facilities Manager
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.5	Public transport disruption leading to inability to use Park House	Facilities Manager & Head Bus Proc
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.6	Inability to accommodate HCPC employees	Facilities Manager
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.7	Interruption to electricity supply	Facilities Manager
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.8	Interruption to gas supply	Facilities Manager
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.9	Interruption to water supply	Facilities Manager
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.10	Telephone system failure causing protracted service outage	Director of IT
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.11	Basement flooding	Facilities Manager
Efficient Business processes	<b>Operations SO1.GG SO2.EBP</b>	2.12	Significant disruption to UK transport network by environmental extremes e.g . snow, rain, ash; civil unrest or industrial action; disrupts planned external activities	Director of Operations & Head Bus Proc
Efficient Business processes	<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.3	Inability to inform stakeholders following crisis	Director of Comms
Efficient Business processes	<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.4	Failure to inform Registrants Article 3 (13)	Director of Comms
Efficient Business processes	<b>Communications SO3.Com SO1.GG SO2.EBP</b>	3.5	Publication of material not approved for release	Director of Comms

Efficient Business processes	<b>Corporate Governance SO1.GG SO2.EBP</b>	4.4	Failure to meet Council/Committee quorums	Secretary to Council
Efficient Business processes	<b>Corporate Governance SO1.GG SO2.EBP</b>	4.12	Operationalise Section 60 legislation	Council
Efficient Business processes	<b>Corporate Governance SO1.GG SO2.EBP</b>	4.13	Failure to comply with DPA 1998 or FOIA 2000, leading to ICO action	Secretary to Council
Efficient Business processes	<b>IT SO2.EBP SO1.GG</b>	5.1	Software Virus damage	Director of IT
Efficient Business processes	<b>IT SO2.EBP SO1.GG</b>	5.2	Technology obsolescence, (Hard/SoftWare)	Director of IT
Efficient Business processes	<b>IT SO2.EBP SO1.GG</b>	5.3	Fraud committed through IT services	Director of IT
Efficient Business processes	<b>IT SO2.EBP SO1.GG</b>	5.4	Failure of IT Continuity Provision	Director of IT
Efficient Business processes	<b>IT SO2.EBP SO1.GG</b>	5.5	Malicious damage from unauthorised access	Director of IT
Efficient Business processes	<b>IT SO2.EBP SO1.GG</b>	5.6	Data service disruption (via utility action)	Director of IT
Efficient Business processes	<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.1	Inability to recruit and retain suitable Partners	Partner Manager
Efficient Business processes	<b>Partners SO1.GG SO2.EBP</b>	6.3	Health & Safety of Partners	Partner Manager
Efficient Business processes	<b>Partners SO1.GG SO2.EBP</b>	6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager
Efficient Business processes	<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration
Efficient Business processes	<b>Partners SO1.GG SO2.EBP</b>	6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration
Efficient Business processes	<b>Education SO3.Com SO2.EBP</b>	7.2	Education providers refusing visits or not submitting data	Director of Education
Efficient Business processes	<b>Education SO3.Com SO2.EBP</b>	7.3	Inability to conduct visits and monitoring tasks	Director of Education
Efficient Business processes	<b>Education SO3.Com SO2.EBP</b>	7.4	Loss of support from Education Providers	Chief Executive or Director of Education
Efficient Business processes	<b>Education SO4.Evid SO2.EBP SO1.GG</b>	7.6	Loss or significant change to funding, commissioning and placement opportunities for	Director of Education



			approved programmes	
Efficient Business processes	<b>Project Management SO1.GG SO2.EBP</b>	8.1	Fee change processes not operational by required date	Director of Finance Project Portfolio Manager
Efficient Business processes	<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation	Project Lead Project Portfolio Manager
Efficient Business processes	<b>Project Management SO1.GG SO2.EBP</b>	8.13	Failure to deliver a system & process review of the Education department	Director of Education Project Portfolio Manager
Efficient Business processes	<b>Project Management SO1.GG SO2.EBP</b>	8.14	Failure to deliver a system & w of the HR & Partners departments	Director of HR Project Portfolio Manager
Efficient Business processes	<b>Project Management SO1.GG SO2.EBP</b>	8.15	Professional Indemnity Insurance. Unable to delivery statutory requirements	Director of Operations & Project Portfolio Manager
Efficient Business processes	<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.16	Annotation of the Register. Failure to deliver statutory requirements	Director of Operations & Project Portfolio Manager
Efficient Business processes	<b>Project Management SO1.GG SO2.EBP</b>	8.17	Organisation wide resourcing may impact project delivery	EMT & Project Portfolio Manager
Efficient Business processes	<b>Quality Management. SO1.GG SO2.EBP</b>	9.1	Loss of ISO 9001:2008 Certification	Director of Operations, Head of Business Improvement
Efficient Business processes	<b>Quality Management. SO1.GG SO2.EBP</b>	9.2	Employees non-compliance with established Standard Operating Procedures	EMT
Efficient Business processes	<b>Registration SO1.GG SO2.EBP SO3.Com</b>	10.1	Customer service failures	Director of Operations, Head of Registration
Efficient Business processes	<b>Registration SO2.EBP SO3.Com</b>	10.2	Protracted service outage following a NetRegulate Registration system failure	Director of IT
Efficient Business processes	<b>Registration SO1.GG SO2.EBP</b>	10.3	Inability to detect fraudulent applications	Director of Operations, Head of Registration
Efficient Business processes	<b>Registration SO1.GG SO2.EBP</b>	10.4	Backlogs of registration and applications	Director of Operations, Head of Registration

Efficient Business processes	<b>Registration SO1.GG SO2.EBP</b>	10.5	Mistake in the Registration process leading to liability for compensation to Registrant or Applicant	Director of Operations, Head of Registration
Efficient Business processes	<b>CPD SO2.EBP SO4.Evid</b>	10.6 (18.1-7.5)	CPD processes not effective	Director of Operations, Head of Registration
Efficient Business processes	<b>HR SO1.GG SO2.EBP</b>	11.1	Loss of key HCPC employees	Chair, Chief Executive and EMT
Efficient Business processes	<b>HR SO1.GG SO2.EBP</b>	11.2	High turnover of employees	HR Director
Efficient Business processes	<b>HR SO1.GG SO2.EBP</b>	11.3	Inability to recruit suitable employees	HR Director
Efficient Business processes	<b>HR SO1.GG SO2.EBP</b>	11.4	Lack of technical and managerial skills to delivery the strategy	Chief Executive
Efficient Business processes	<b>HR SO1.GG SO2.EBP</b>	11.6	High sick leave levels	EMT
Efficient Business processes	<b>HR SO1.GG SO2.EBP</b>	11.8	Employer/employee inappropriate behaviour	HR Director
Efficient Business processes	<b>HR SO1.GG SO2.EBP</b>	11.9	Non-compliance with Employment legislation	HR Director
Efficient Business processes	<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
Efficient Business processes	<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.2	Legal challenge to HCPC operations	Chief Executive
Efficient Business processes	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.1	Legal cost over-runs	FTP Director
Efficient Business processes	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.3	Tribunal exceptional costs	FTP Director
Efficient Business processes	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.4	Rapid increase in the number of allegations and resultant legal costs	FTP Director
Efficient Business processes	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.5	Witness non-attendance	FTP Director
Efficient Business processes	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.7	High Number of Registration Appeals	FTP Director & Director of Operations, Head of Registrations

Efficient Business processes	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.8	Backlog of FTP cases	FTP Director
Efficient Business processes	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.9	Excessive cases per Case Manager workload	FTP Director
Efficient Business processes	<b>Fitness to Practise SO2.EBP SO1.GG</b>	13.10	Protracted service outage following a Case Management System failure	Director of IT
Efficient Business processes	<b>Policy &amp; Standards SO1.GG SO2.EBP SO4.Evid SO3.Com</b>	14.1	Incorrect process followed to establish stds/guidance/policy eg no relevant Council decision	Policy & Stds Director
Efficient Business processes	<b>Policy &amp; Standards SO3.Com SO2.EBP SO1.GG</b>	14.2	Inappropriate stds/guidance published eg stds are set at inappropriate level, are too confusing or are conflicting	Council/committees
Efficient Business processes	<b>Policy &amp; Standards SO1.GG SO2.EBP SO4.Evid SO3.Com</b>	14.6	Loss of Corporate Memory	Policy & Stds Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.1	Insufficient cash to meet commitments	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.2	Unexpected rise in operating expenses	EMT
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.3	Major Project Cost Over-runs	Project Lead / EMT
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.5	Inability to pay creditors	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.6	Inability to collect from debtors	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.7	Registrant Credit Card record fraud/theft	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.8	Receipt of fee income as per collection schedule	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.9	Mismatch between Council goals & approved financial budgets	Chief Executive
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.10	Unauthorised payments to organisations	Finance Director

Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.11	Unauthorised payments to personnel	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.12	Unauthorised removal of assets (custody issue)	Facilities Manager
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.13	Mis-signing of cheques (forgery)	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.14	Non compliance with FReM reporting	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.15	Qualified opinion received by the Auditors on the Statutory Financial Statements	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.16	Late submission of the Annual Report, beyond sector standards	Secretary to Council
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.18	PAYE/NI compliance	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.19	Corporation tax compliance (tax due on investment income only)	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.20	Bank insolvency or fraud	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.21	Financial distress of trade suppliers causes loss of service	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.22	Payroll process delay or failure	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.23	PSA full cost recovery model places excessive pressure on HCPC April 2013 onwards	Chief Executive & Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.24	Failure to adhere to Procurement and Tendering requirements outside OJEU process	Finance Director
Efficient Business processes	<b>Finance SO1.GG SO2.EBP</b>	15.25	Failure to adhere to OJEU Procurement and Tendering requirements where over thresholds	Finance Director
Efficient Business processes	<b>Pensions SO1.GG SO2.EBP</b>	16.2	Non compliance with pensions legislation	Finance Director
Efficient Business processes	<b>Pensions SO1.GG SO2.EBP</b>	16.3	Capita Flexiplan funding liability resulting from scheme valuation deficiency	Finance Director

Efficient Business processes	<b>Information Security SO1.GG SO2.EBP</b>	17.1	Electronic data is removed inappropriately by an employee	Director of IT
Efficient Business processes	<b>Information Security SO1.GG SO2.EBP</b>	17.2	Document & Paper record Data Security	EMT; Head of Business Improvement
Efficient Business processes	<b>Information Security SO1.GG SO2.EBP</b>	17.3	Loss of electronic data	EMT, Director of IT and Director of Operations
Efficient Business processes	<b>Information Security SO1.GG SO2.EBP</b>	17.4	Data received from third parties	Director of Ops, and Director of FTP
Efficient Business processes	<b>Information Security SO1.GG SO2.EBP</b>	17.5	Loss of physical data despatched to and held by third parties for the delivery of their services	Director of Ops and Hd of Business Process Improv
Efficient Business processes	<b>Information Security SO1.GG SO2.EBP</b>	17.6	Loss of Registrant personal data by the registration system (NetRegulate) application support provider in the performance of their support services (specific risk).	Director of IT and Director of Operations
<b>Strategic Objective Name</b>	<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the on going risk)</b>
Communication	<b>Strategic SO5.IPA SO3.Com SO6.HmCty</b>	1.2	Unexpected change in UK legislation	Chief Executive
Communication	<b>Strategic SO3.Com</b>	1.4	Failure to maintain a relationship with PSA (formerly CHRE)	Chief Executive & Chair
Communication	<b>Strategic SO3.Com SO6.HmCty</b>	1.5	Loss of reputation	Chief Executive & Chair
Communication	<b>Communications SO3.Com SO1.GG</b>	3.1	Failure to inform public Article 3 (13)	Director of Comms
Communication	<b>Communications SO5.IPA SO3.Com</b>	3.2	Loss of support from Key Stake holders including professional bodies, employers or government	Director of Comms
Communication	<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.3	Inability to inform stakeholders following crisis	Director of Comms

Communication	<b>Communications</b> SO3.Com SO2.EBP SO6.HmCty	3.4	Failure to inform Registrants Article 3 (13)	Director of Comms
Communication	<b>Communications</b> SO3.Com SO1.GG SO2.EBP	3.5	Publication of material not approved for release	Director of Comms
Communication	<b>Education</b> SO3.Com SO2.EBP	7.2	Education providers refusing visits or not submitting data	Director of Education
Communication	<b>Education</b> SO3.Com SO2.EBP	7.3	Inability to conduct visits and monitoring tasks	Director of Education
Communication	<b>Education</b> SO3.Com SO2.EBP	7.4	Loss of support from Education Providers	Chief Executive or Director of Education
Communication	<b>Registration</b> SO1.GG SO2.EBP SO3.Com	10.1	Customer service failures	Director of Operations, Head of Registration
Communication	<b>Registration</b> SO2.EBP SO3.Com	10.2	Protracted service outage following a NetRegulate Registration system failure	Director of IT
Communication	<b>Legal</b> SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
Communication	<b>Legal</b> SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.2	Legal challenge to HCPC operations	Chief Executive
Communication	<b>Policy &amp; Standards</b> SO1.GG SO2.EBP SO4.Evid SO3.Com	14.1	Incorrect process followed to establish stds/guidance/policy eg no relevant Council decision	Policy & Stds Director
Communication	<b>Policy &amp; Standards</b> SO3.Com SO2.EBP SO1.GG	14.2	Inappropriate stds/guidance published eg stds are set at inappropriate level, are too confusing or are conflicting	Council/committees
Communication	<b>Policy &amp; Standards</b> SO1.GG SO2.EBP SO4.Evid SO3.Com	14.6	Loss of Corporate Memory	Policy & Stds Director

<b>Strategic Objective Name</b>	<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the on going risk)</b>
Build the evidence base of regulation	<b>Corporate Governance</b> SO1.GG SO4.Evid	4.3	Poor decision-making eg conflicting advice or conflicting advice and decisions	Chair
Build the evidence base of regulation	<b>Education</b> SO4.Evid SO1.GG	7.1	Failure to detect low education providers standards	Director of Education
Build the evidence base of regulation	<b>Education</b> SO4.Evid SO2.EBP SO1.GG	7.6	Loss or significant change to funding, commissioning and placement opportunities for approved programmes	Director of Education
Build the evidence base of regulation	<b>CPD</b> SO2.EBP SO4.Evid	10.6 (18.1-7.5)	CPD processes not effective	Director of Operations, Head of Registration
Build the evidence base of regulation	<b>Legal</b> SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
Build the evidence base of regulation	<b>Legal</b> SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.2	Legal challenge to HCPC operations	Chief Executive
Build the evidence base of regulation	<b>Policy &amp; Standards</b> SO1.GG SO2.EBP SO4.Evid SO3.Com	14.1	Incorrect process followed to establish stds/guidance/policy eg no relevant Council decision	Policy & Stds Director
Build the evidence base of regulation	<b>Policy &amp; Standards</b> SO1.GG SO4.Evid	14.3	Changing/evolving legal advice rendering previous work inappropriate	Policy & Stds Director
Build the evidence base of regulation	<b>Policy &amp; Standards</b> SO1.GG SO2.EBP SO4.Evid SO3.Com	14.6	Loss of Corporate Memory	Policy & Stds Director
<b>Strategic Objective Name</b>	<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the on going risk)</b>
Influence the policy agenda	<b>Strategic</b> SO5.IPA SO3.Com SO6.HmCty	1.2	Unexpected change in UK legislation	Chief Executive

Influence the policy agenda	<b>Strategic SO5.IPA SO6.HmCty</b>	1.3	Incompatible SI Sec 6.2 & Health Bill and EU legislation	Chief Executive
Influence the policy agenda	<b>Communications SO5.IPA SO3.Com</b>	3.2	Loss of support from Key Stake holders including professional bodies, employers or government	Director of Comms
Influence the policy agenda	<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
Influence the policy agenda	<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.2	Legal challenge to HCPC operations	Chief Executive
Influence the policy agenda	<b>Policy &amp; Standards SO5.IPA SO6.HmCty</b>	14.4	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	EMT
<b>Strategic Objective Name</b>	<b>Category</b>	<b>Ref #</b>	<b>Description</b>	<b>Risk owner (primary person responsible for assessing and managing the on going risk)</b>
Engagement in the four home countries	<b>Strategic SO5.IPA SO3.Com SO6.HmCty</b>	1.2	Unexpected change in UK legislation	Chief Executive
Engagement in the four home countries	<b>Strategic SO5.IPA SO6.HmCty</b>	1.3	Incompatible SI Sec 6.2 & Health Bill and EU legislation	Chief Executive
Engagement in the four home countries	<b>Strategic SO3.Com SO6.HmCty</b>	1.5	Loss of reputation	Chief Executive & Chair
Engagement in the four home countries	<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.3	Inability to inform stakeholders following crisis	Director of Comms
Engagement in the four home countries	<b>Communications SO3.Com SO2.EBP SO6.HmCty</b>	3.4	Failure to inform Registrants Article 3 (13)	Director of Comms
Engagement in the four home countries	<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.1	Inability to recruit and retain suitable Partners	Partner Manager



Engagement in the four home countries	<b>Partners SO1.GG SO2.EBP SO6.HmCty</b>	6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration
Engagement in the four home countries	<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation	Project Lead Project Portfolio Manager
Engagement in the four home countries	<b>Project Management SO1.GG SO2.EBP SO6.HmCty</b>	8.16	Annotation of the Register. Failure to deliver statutory requirements	Director of Operations & Project Portfolio Manager
Engagement in the four home countries	<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.1	Judicial review of HCPC's implementation of HSWPO including Rules, Standards & Guidance	Chief Executive
Engagement in the four home countries	<b>Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty</b>	12.2	Legal challenge to HCPC operations	Chief Executive
Engagement in the four home countries	<b>Policy &amp; Standards SO5.IPA SO6.HmCty</b>	14.4	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	EMT