

Agenda Item 15 (ii)

Enclosure 15

**Health and Care Professions Council
04 July 2018**

Draft Strategic Risk Register

For discussion

**From Stephen Cohen, Chair of the Audit
Committee**

SP1 Perf	SP2 Com	SP3 Adapt	SP4 Evid	Strategic Risks - High Level	Risk Owner	IMPACT	LIKELIHOOD	RISK PRE MITIGATION	Mitigation 1	Mitigation 2	Mitigation 3	IMPACT POST MITIGATIONS	LIKELIHOOD POST MITIGATIONS	RESIDUAL RISK
				1. Failure to deliver effective regulatory functions This includes the inability to fulfill our statutory obligations set out in the Health and Social Work Professions Order and the failure to meet the PSA's Good Standards of Regulation. Includes; Education, page 8, risks 7.1 to 7.5 Fitness to Practice, page 11, risks 13.1 to 13.13 Registration, page 22, risks 10.1 to 10.6 Legal, page 15, risks 12.1 to 12.2 Risk of Harm, page 23, risks 20.1 to 20.4 Quality Management, page 21, risks 9.1 to 9.5	Exec Dir of Regulation	5	3	15	Adherence to defined processes and statutory legislation	Robust quality assurance and auditing processes including the PSA's annual performance review and ISO certification	Ongoing improvement monitored through reporting and metrics	4	2	8
				2. Failure to anticipate and respond to changes in the external environment This includes the ability to respond and influence external drivers for change, like the impact of Brexit, devolution or a change in government as well as issues like workforce development, new and emerging professions or government policies affecting professional regulation. It also includes awareness and responsiveness to advances in technology and systems. Includes; Communications, page 6, risks 3.1 to 3.5 Corporate Governance, page 7, risks 4.1 to 4.18 Policy & Standards, page 19, risks 14.1 to 14.8	Chief Executive; Exec Dir of Policy & External Relations	5	3	15	High level stakeholder engagement with government and it's officials as well as professional groups and opinion formers	Relationship building and liaison with Government Departments, academics and policy makers	Horizon scanning and intelligence gathering to be aware external drivers and influencers	5	3	15
				3. Failure to be a trusted regulator and meet stakeholder expectations This risk includes the management of stakeholder engagement and key relationships as well as reputation management. Includes; Communications, page 6, risks 3.1 to 3.5 Risk of Harm, page 23, risks 20.1 to 20.4	Chief Executive; Exec Dir of Policy & External Relations	5	3	15	Clear Communications Strategy, underpinned by stakeholder communications and engagement plan with clear deliverables and milestones	Adherence to agreed processes and organisational values of transparency, collaboration, responsiveness, high quality service and value for money	Regular stakeholder opinion polling to understand needs and expectations	4	2	8
				4. Failure to be an efficient regulator This risk includes the operational failure of processes, or the inability to manage data efficiently as well the vulnerability of IT security. It also includes financial security, timely and accurate reporting and the recruitment, retention and training of Partners, Council and employees. Includes; Finance, page 9, risks 15.1 to 15.28 HR , page 12, risks 11.1 to 11.10 Information security, page 13, risks 17.1 to 17.11 Information Technology, page 14, risks 5.1 to 5.10 Operations, page16, risks 2.1 to 2.15 Partners, page 17, risks 6.1 to 6.7 Project Management, page 20, risks 8.1 to 8.4 Quality Management, page 21, risks 9.1 to 9.5	Exec Dir of IT & Resources	5	5	25	Adherence to agreed and defined processes which focus on continuous improvement and are subject to internal and external monitoring and assessment, including ISO, NAO for example	Adherence to robust budgetting and financial management and reporting processes	High quality HR processes in relation to recruitment and learning and development	4	2	8
				5. Failure of leadership, governance or culture This risk includes the effectiveness of Council, strategy setting and oversight, risk management and business planning. It also covers organistional culture including the existence of relevant policies for whistleblowing or anti-bribery for example and processes for performance development. Includes; Corporate Governance, page 7, risks 4.1 to 4.18 Legal, page 15, risks 12.1 to 12.2 Strategy & Planning, page 24, risks 1.1 to 1.10	Chair of Council; Chief Executive	4	3	12	Experienced Executive and Council members who adhere to organisational policies, processes and governance structures	Training and internal communications to ensure Partners, Council and employees aware of and sensitive to all equality and diversity issues	Delivery of HR and internal communications workplans which support culture and environment and continuous development through all employee survey	5	1	5