

Audit Committee 27 September 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 for Communications and Partners 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) Communications
- (2) Partners

Date of paper

23 July 2012.

RISK ASSESSMENT January 2012

Communications

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
3	Communications	3.1	Failure to inform public Article 3 (13)	Director of Comms	5	1	5	Delivery of communications strategy.	Delivery of aspects of communications workplan, specifically public information campaigns, multi media advertising, distribution of public information materials, and web.	-	Low	Low
		3.2	Loss of support from Key Stake holders including professional bodies, employers or government Links to 1.5	Director of Comms	5	3	15	Delivery of communications strategy, supporting the HPC strategy	Delivery of aspects of communications work plan, specifically stakeholder activities	Quality of Operation procedures	Low	Low
		3.3	Inability to inform stakeholders following crisis	Director of Comms	4	1	4	Invoke Disaster Recovery Plan	Up to date Comms DR plan available	-	Low	Low
		3.4	Failure to inform Registrants Article 3 (13)	Director of Comms	5	1	5	Delivery of communications strategy	Delivery of aspects of communications workplan, specifically, Meet the HPC events, campaigns, Registrant Newsletter, Professional media and conference attendance . Publications and web.	Quality of Operation procedures	Low	Low
		3.5	Publication of material not approved for release	Director of Comms	4	2	8	Delivery of communications plan	Adherence to operational plans (Social Media planner)		Low	Low

THE HEALTH PROFESSIONS COUNCIL

RISK ASSESSMENT January 2012

Partners

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
6	Partners	6.1	Inability to recruit and retain suitable Partners Links to 4.10, 11.3, 7.3, 18.1	Partner Manager	3	3	9	Targetted recruitment strategy.	Appropriate fees for partner services and reimbursement of expenses.	Efficient and effective support and communication from the Partner team.	Low	Low
		6.2	Incorrect interpretation of law and/or SI's resulting in CHRE review	Director of FTP, Director of Education, Head of Registration, Partner Manager	2	4	8	Training	Legal Advice	Regular appraisal system	Low	Low
		6.3	Health & Safety of Partners Links to 4.9, 11.5	Partner Manager	3	2	6	H&S briefing at start of any HPC sponsored event.	Liability Insurance		Low	Low
		6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager	4	3	12	Regular training	Regular appraisal system	Partner Complaints Process & Partner Code of Conduct	Low	Low
		6.5	Incorrect interpretation of HPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager	3	2	6	Correct selection process and use of qualified partners	Daily Email notification of partner registrant lapse		Low	Low
		6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration	3	2	6	Regular review of availability of existing pool of partners to ensure requirements are met.	Annual forecasting of future partner requirements to ensure that they are budgetted for.	Staggered partner agreements across professions for Panel Member and Panel Chair to ensure adequate supply in line with the eight year rule.	Low	Low
		6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration	3	3	9	Notification of partner resignations to user departments.	Current partner lists available to user departments on shared drive.		Low	Low