

Finance and Resources Committee 16 March 2009

Human Resources Workplan 2009 - 2010

Executive Summary and Recommendations

Introduction

This paper sets out the Human Resources Department's workplan for the coming financial year.

Decision

The Committee is invited to:

- Discuss the workplan attached to this paper
- Agree the priorities, projects and principles outlined; and
- Agreed to keep the document under review and request that the Executive amend the workplan accordingly.

Background information

This document is intended to supplement the HPC strategy and sits alongside other departmental level strategy documents such as the IT strategy, the finance strategy, the operations strategy and others.

Resource implications

The resources implications of the attached are assumptions which are already part of the HPC budget 2009-2010.

Financial implications

The attached paper's assumptions are all accounted for in the current version of the HPC budget for 2009-2010.

Appendices

None

Date of paper

5 March 2009

Human Resources Department 2009 – 2010 Workplan

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Introduction

As the HPC continued to expand its employee numbers, the focus of the Human Resources Department in 2008-2009 was on recruitment, induction, training, and completing the process of re-organisations in four departments. For the first time an employee attitude survey was conducted. The partner role was heavily focussed on contractual renewals and recruitment, with partners being recruited and selected for the anticipated practitioner psychologists coming onto the register. Training was a time consuming aspect of that year, with all existing Visitor Partners receiving refresher training amongst other regular training events.

During 2009-2010 in the employee area, the focus will largely be in the training area as well as on regular projects such as equality and diversity which contain ongoing actions. In the partner area, there will also be an emphasis on training and on the various performance management systems, including training of new partners and also refresher training for all Registrations Assessors. Half of the Panel Members, and half of the Visitors who were untrained in the refresher training in 2008 also

The ability of the Human Resources Department to respond to events which could not be anticipated has been an important attribute in delivering the services required every year. This will also be a key feature of the 2009-2010 workplan as there must be the ability to adjust work where needed to meet any unexpected demands that arise.

This document

This document explains the work priorities for the financial year April 2009 – March 2010. It addresses how the Human Resources Department will progress over the next year to meet new legal obligations and progress improvements for employee management at the HPC. The organisation is a rapidly growing one and as with previous years, there will be a continued focus in the workplan on recruiting employees and partners with the appropriate competencies to fulfil all roles. This will be of particular importance in 2008 with the need to fill the new partner role of CPD Assessors and for the partner functions that will be required when the Applied Psychologists and Hearing Aid Audiologists are regulated by the HPC.

It should be noted that the Human Resources Department does not manage any of the human resources related functions which apply to Council (such as recruitment of Council members) and that this work is delivered by the Secretariat Department.

Resources

The Human Resources Department consists of five employees as follows:

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| Teresa Haskins | Director of Human Resources (From 1 April 2009) |
| Joan Mc Brearty | Human Resources Manager |
| Sam Ha | Human Resources Team Administrator |

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Kathryn Neuschafer Partner Manager
 Marche Wilson Partner Administrator

There are currently no plans to increase the Department with any additional permanent team members. However Deborah Dawkins, Registrations Advisor, will be Acting-Up as Partner Manager for the first six months of the 2009 calendar year due to maternity leave being taken by Kathryn Neuschafer.

The Director of Human Resources is responsible for the overall management of the team, the day-to-day running of the department, the development of the strategy and the workplan and the development and management of new projects. The Director is a member of the Executive Management team and is involved in most capability or disciplinary hearings and the provision of human resources related advice to managers.

The Team Administrator provides administrative support in relation to the employee management functions (not the partner functions). This primarily involves co-ordinating the paperwork associated with recruitment and training, conducting inductions, and maintaining databases and filing systems.

The Human Resources Manager is responsible for the whole range of generalist human resources tasks. The current Human Resources Manager, Joan, started with the department in January 2009. These include interviewing, management of sick leave across the organisation, drafting policies, higher level HR database management, advising and note taking in formal HR meetings, and advising managers and employees generally.

The Partner Manager provides a service to the partners of HPC and the department heads who manage the various partners. Their activities incorporate the day to day management of partner issues such as recruitment, induction and training of partners and implementing partner policies. The Partner Manager administers the Partner Handbook including its complaints and expenses policies.

The Partner Administrator assists the Partner Manager with all of the above activities and plays a key role in organising recruitment and training. This is alongside database management and completion of paperwork around all partner matters including performance management, contract administration and partner training.

Human Resources activities in 2009 - 2010

There are seven main areas of work undertaken within the Human Resources area. The following paragraphs summarise the headline employee and partner activity for the year.

Employees

Recruitment, selection and induction will form a less significant part of the department's workload than previous years in 2009, due to less recruitment across the business generally. Employee numbers now total 121 and along with filling any

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ad hoc vacancies which arise as a result of resignations, 7 newly approved permanent posts in the 2009-2010 budget require advertising (along with 1 post in Education carried over from 2008).

The newly approved posts for 2009 are;

| | | |
|-------------------------------------|--|----------|
| Secretariat Department | | |
| • Freedom of Information Officer | | 1 |
| Communications Department | | |
| • Communications Officer | | 1 |
| Fitness to Practise Department | | |
| • Case Manager | | 2 |
| • Team Administrator | | 1 |
| • Case Manager (six month contract) | | 1 |
| Education Department | | |
| • Education Administrator | | 1 |
| <u>Total</u> | | <u>7</u> |

Please note the Education vacancy is not a new post, it is carried over from the 2008-2009 budget year due to the delay of the Practitioner Psychologists coming onto the HPC Register.

Whilst the employees voted to have a pre-existing agreement set up under the **Information and Consultation of Employees Regulations 2004** in 2008, the agreement is in its initial stages with consultation still taking place through negotiating employee representatives. Throughout 2009 an agreement should be finalised and employee and management representatives elected with regular meetings and consultation with employees taking place.

Support and training for managers and employees will continue to take time for the department in the coming year. Whilst the equality and diversity training has now been conducted organisation wide, there are training opportunities in other areas (for example some in house HR training and project training for project leads).

There are a number of ongoing activities that are part of the human resources plan every year including annual position description updates, co-ordinating the annual pay review with the external salary evaluation company and managing the annual performance review process in the final quarter of each year.

There will always be challenging employee relations issues to deal with in any HR department including management of employment tribunal claims from time to time. It is important that the department retain the flexibility and ability to respond to these as

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required and ensure fairness and consistency in the application of human resources procedures across the business.

Partners

Partner training will form the main area of work for the partner management function in 2009 (see Appendix 2). Whilst last year the focus was on contract management and recruitment for the partners associated with the Practitioner Psychologists coming onto the register, the coming year will concentrate on training these partners as well as those in preparation for the Hearing Aid Council being placed under HPC.

Refresher training will be conducted for all Registration Assessors in 2009 which is a significant exercise in terms of co-ordination and general organisation. Refresher training will also be conducted for half of the Visitors and the Panel Members who were not trained in 2008 will also be trained.

There will be a strong focus in 2009 on the **performance appraisal mechanisms** for partners. With all systems now running and the Fitness to Practise system currently being rolled out, it is a good opportunity to evaluate the effectiveness of the three systems and see how effective and useful they are.

There will be **recruitment** to undertake however less than previously as it will largely consist of replacement posts or new CPD Assessor posts.

There will also be an internal focus in 2009 on the **partner database and paperwork**. There are many paper based files and we will be moving to a scanned system for partner records to increase efficiency and reduce cupboard space taken by the paper files. We also aim to do some auditing to ensure all paperwork details are accurately recorded on the partner database.

Employees and partners

In both the employee and partner areas of the human resources department, we will continue to undertake various actions for the organisation wide **equality and diversity** project.

Budget Management

The department manages both the human resources general budget and the partner budget. The general human resources budget totals £379,996. Headline areas of the budget consist of £40,000 for organisation wide training, £25,000 allocated to legal expenses associated with employment related matters and £58,000 budgeted for organisational recruitment.

The partner budget of £380,871 largely consists of provisions for partner recruitment and training. Two significant sums forming part of this figure are £53,170 which has been allocated for partner recruitment, and £246,182 for training.

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Achieving the Human Resources Objectives in 2009 - 2010

We have identified eight objectives in the strategy. In 2009-2010 we will undertake the following activities in support of these objectives.

Please note that most of the employee HR Objectives have not been written so that the new Director can determine what they would like to do in 2009.

Human Resources (Employees) Objective 1: Consultation Agreement

To continue with our agreed development and implementation of a pre-existing agreement under the Information and Consultation of Employees Regulations (2004) we will:

- develop and agree the provisions of pre-existing agreement through negotiations with employees; and
- implement the agreement ensuring meetings are conducted (and subsequent consultations) in accordance with the provisions of the agreement and with human resources support and advice.

The timescale for this is ongoing throughout 2009 however the agreement must be written and implemented within six months of the commencement of negotiations with employees.

Human Resources (Employees) Objective 2: Training

To progress and build on the provision of organisational Training we will:

- investigate and research potential for training plans for new managers which sees them undertake a set programme of formal and informal training in management areas such as budgeting, workplans, appraisal and human resources procedures;
- continue to co-ordinate annual training on diversity, interview techniques, appraisals; and
- take-over responsibility for arranging organisation-wide IT training (this was previously managed in the IT department).

Human Resources (Employees) Objective 3: Customer Service

To maintain and improve our levels of Customer Service to managers and employees we will:

- work with the IT department to introduce and roll-out an electronic system for starter and leaver forms for both temporary agency staff and HPC employees.
- continue to carry out exit interviews with leaving employees and assemble an annual report on trends.

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Human Resources (Partners) Objective 4:

To address training needs across all partner roles we will:

- provide training for all newly appointed CPD assessors;
- provide refresher training for all Registration Assessors (totalling 120);
- provide refresher training for the Panel Members (90 in total) and Visitors (85 in total), half of whom were not trained in 2008 and therefore require training in 2009; and
- provide training for all new partners associated with the Hearing Aid Council partners coming on board (approximately 16 partners).

The timescale for this training will be throughout the year as per the attached training schedule.

Human Resources (Partners) Objective 5:

To recruit and select the numbers and types of partners required for HPC to perform its functions we will:

- Recruit new CPD Assessors for the remaining professions to be audited, which are Biomedical Scientists, Prosthetists and Orthotists, Paramedics, Physiotherapists, Arts Therapists, Dieticians, Clinical Scientists, Speech and Language Therapists, Radiographers, Orthoptists, and Occupational Therapists as required throughout the year; and
- Recruit any other ad hoc vacancies that arise through general turnover or through additional needs.

The timescale for this recruitment is throughout the year but for CPD Assessors will be from April 2009 to March 2010.

Human Resources (Partners) Objective 6:

To ensure that the HPC is fulfilling best practise in terms of performance management of partners, we will:

- ensure that the Fitness to Practise partner performance appraisal system is fully rolled out and partners trained on this system;
- conduct an evaluation to ensure that the Visitor and Registration Assessor performance management systems are being used correctly, and to ensure that these are effective;
- take feedback from partners and department heads as to how effective the existing systems are and as to whether any changes may need to be considered to the systems; and
- take any agreed changes to the Finance and Resources Committee for discussion and approval.

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The timescale for this is January 2010.

Human Resources (Partners) Objective 7:

To better manage our resources internally and potentially provide a better customer service externally to our partners we will:

- scan all partner documents that are currently held on hard copy files onto one database; and
- develop a system for ensuring that all future documentation is placed in a methodical manner that is easy to retrieve on our electronic human resources database;
- conduct an audit of our paper based files and our electronic database to ensure that all information is up-to-date and accurate;
- develop and introduce an exit interview/feedback form to gain an insight into the reasons partners resign and any opportunity for improvement; and
- investigate options of a partner extranet and any additional newsletters required.
- conduct a succession planning exercise by writing to all partners and asking them to advise if they anticipate leaving their posts within the next three years.

The timescale for this is September 2009.

Human Resources (Partners and Employees) Objective 8:

To ensure that we fulfil our departmental obligations under the overall Equality and Diversity scheme we will continue to:

- continue our rolling programme of diversity training for all new employees;
- conduct training of all new and existing partners through an equality and diversity session at each refresher training day or days for any new partner training, and
- analyse recruitment and selection statistics, exit interview results and any other relevant data, to monitor key trends.

2010 - 2011

2010 and 2011 will provide the opportunity for an established human resources department to review its practices and procedures and examine what has worked well and where opportunities for improvement and revision may lie. For example, the employee and partner handbooks will require continual review. An employee attitude survey should ideally be conducted on a regular basis to ensure that attitudes are monitored and actions developed. The pre-existing agreement development under the Information and Consultation of Employees Regulations will require review in 2010 ready for its 2011 expiry date. The day to day activities of recruitment and training will only increase in both the partner and employee area.

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Human Resources Activities in the Past Year 2008 - 2009

It is useful to review the activities contained in the workplan which was submitted one year ago as part of the background for the current work being proposed to be undertaken by the department. Nine major objectives for 2008- 2009 were agreed by the Finance and Resources Committee and were completed as follows:

1. To maintain our increase in the level of customer service from human resources to employees and managers through the HR intranet function we committed to monitoring the newly developed intranet function of the human resources database (Professional Personnel) and address any “teething difficulties”, investigate improvements and cross-training for the team.

This objective was achieved. There were regular meetings and phone calls to the developers in Swindon, and the IT team and HR team met weekly to ensure all functional difficulties or issues were resolved expeditiously. The team in HR has now been cross-trained on functionalities such as running reports, attaching paperwork to individual’s electronic records and recording all recruitment information. Several tailored improvements were developed for the system (for example, for partners with multiple roles, the different contract expiry dates are now recorded electronically, and when the Finance and Resources Committee approved changes to the equality and diversity monitoring form, the system was changed to meet the new requirements).

2. The second objective was to conduct a training needs analysis, train new managers across several areas including management of probationary employees.

This objective was fully completed. New managers were trained on the HPC’s performance management system and on managing equality and diversity within their teams. A training needs analysis was conducted following the performance reviews being conducted. Kelly Webster, Human Resources Manager, trained all managers over three sessions on the management of probationary employees and legal requirements.

3. We committed to researching our obligations under the Information and Consultation of Employees Regulations when the HPC employee numbers reach the appropriate level and to commencing the process of negotiating an information and consultation agreement.

Following Finance and Resources Committee approval, a vote was taken in 2008 as to whether the employees wished to have a pre-existing agreement. Over 25% of employees voted ‘yes’ and employee negotiating representatives were elected. An agreement is currently being drafted and will be taken forward by the new Director of Human Resources.

4. In the interests of high customer service to employees and in maintaining positive employee relations we ensured that regular contact with our pensions advisors occurred and that all pensions matters were dealt with effectively and efficiently; that we would investigate and trial options for adding a 360 degree

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feedback mechanism within the organisation to improve communication and feedback channels on performance; and finally, conduct an employee attitude survey.

All of these objectives were met. We conducted an employee attitude survey and presented the findings to employees in October 2008. We trialled a 360 degree feedback system using the Executive Management Team and two departments (Education and Policy). We also had regular briefings and one-to-one sessions by Barnett Waddingham with employees to help monitor the transition of their funds to Friends Provident and address any concerns promptly.

5. All Partner agreements expiring in July 2008 were to be extended to June 2010.

This objective was met. For any partners not wishing to renew their agreement, vacancies were assessed as to whether they were still required, and advertised in 2008.

6. This objective addressed the need to recruit, select and train the numbers and types of partners required for HPC to perform its CPD functions.

We liaised with the Office for the Commissioner of Public Appointments and department heads in recruiting vacancies from our existing partner pool for CPD Assessors (12 ODP Assessors and 15 Chiropodist Assessors were recruited for July 2008). Any vacancies which were not filled from our existing partners were advertised externally. We provided training to existing and new partners on this new partner role and recruited towards the latter part of 2008-2009 for the other professions that we would need to be audited.

7. This objective also centred around recruitment through the recruitment, selection and training of partners ready for the Practitioner Psychologists coming onto the HPC Register.

Again this was successfully achieved through two rounds of advertising in various publications. We continued to liaise with the Office for the Commissioner of Public Appointments, the project team and relevant department heads in recruiting for these partners. In total 71 partners were recruited across all partner roles and training organised for March/April 2009.

8. The eighth objective was a general training objective to ensure that our partners could continue to fulfil their roles effectively.

This objective was met as we provided training for all new partners and for all existing partners taking on new partner roles as well as refresher training for all partners generally (in particular Visitors were the focus for 2008 with refresher training being conducted in September and October 2008 for all existing Visitors). We also continued our rolling programme of training all partners in equality and diversity. Due to the time commitment for this though we did not meet part of this objective which was to investigate options for a future partner extranet and a newsletter in conjunction

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with the Communications Department. This will be carried over into general work for 2009.

9. The final objective addressed our departmental obligations under the overall Equality and Diversity Scheme.

We analysed partner and employee diversity statistics and presented these to the Finance and Resources Committee in June 2008. We also continued our rolling programme of diversity training for all new employees, and continued our training of all new and existing partners through an equality and diversity session at each refresher training day or days for any new partner training. We also introduced new methods of measuring data so that statistics will be available in the future to identify possible improvements. This was achieved by additional questions within the employee exit questionnaire about equality and diversity and making the voluntary equal opportunities monitoring form compulsory for all partner and employee job candidates to fill in (whilst retaining a “would rather not state option” under all categories). We also ensured that the internal employee equality and diversity working group retained its profile and work through the election of a new Chair and Deputy Chair, and regular meetings.

Risk Management

The Human Resources Department manage risks within the HR department and throughout the HPC in relation to overall employee management.

Key areas are recruitment and health and safety for both employees and partners. Within the employee risk management area are issues such as turnover, skills development, managing employee performance matters and ensuring compliance with employment legislation including managing any litigation.

Please see the appendix (1) below for details.

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Appendix 1: Risks Managed by the Human Resources Department (Employees)

THE HEALTH PROFESSIONS COUNCIL

RISK ASSESSMENT February 2009

HR

| Ref | Category | Ref | Description | Risk owner (primary person responsible for assessing and managing the ongoing risk) | Impact before mitigation February 2009 | Likelihood before mitigation February 2009 | Risk Score = Impact x Likelihood | Mitigation I | Mitigation II | Mitigation III | RISK score after Mitigation February 2009 | RISK score after Mitigation September 2008 |
|-----|----------|------|---|--|--|--|----------------------------------|---|--|---|---|--|
| 11 | HR | 11.1 | Loss of key HPC employees (person cover risk) | President, Chief Executive and EMT | 3 | 1 | 3 | Committee chairmen cover for President loss, President and EMT cover for CE loss until interim appointment made | Cross training (partial or full) and process documentation | Chief Executive succession plan held by HR Director. Succession planning generally. | Low | Low |
| | | 11.2 | High turnover of employees | HR Director | 1 | 1 | 1 | Remuneration and HR strategy | Regular performance reviews | Exit interview analysis | Low | Low |
| | | | Links to 11.3 | | | | | | | | | |

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| | | 11.3 | Inability to recruit suitable employees | HR Director | 1 | 3 | 3 | 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 |
| | | | Links to 4.10, 6.1, 11.2, 11.8 | | | | | | | | | |
| | | 11.4 | Lack of technical and managerial skills to delivery the strategy | Chief Executive | 1 | 3 | 3 | 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 |
| | | | Links to 1.1 | | | | | | | | | |
| | | 11.5 | Health & Safety of employees | Chief Executive | 3 | 1 | 3 | Health & Safety Training, policies and procedures | H&S Assessments (Lawrence, Webster Forrest). | Personal Injury & Travel insurance | Low | Low |
| | | | Links to 4.9, 6.3 | | | | | | | | | |
| | | 11.6 | High sick leave levels | EMT | 1 | 3 | 3 | Adequate staff (volume and type) including hiring temporary staff | Return to work interviews and sick leave monitoring | Regular progress reviews | Low | Low |
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| | | 11.7 | Employee and ex-employee litigation | HR Director | 1 | 5 | 5 | Regular one on one sessions between manager and employee and regular performance reviews. | HR legislation and HR disciplinary policies | Compromise agreements | Low | Low |
| | | 11.8 | Employer/employee inappropriate behaviour | HR Director | 1 | 1 | 1 | Whistle blowing policy | Other HR policy and procedures | Employee Assistance programme | Low | Low |
| | | | Links to 11.3 | | | | | | | | | |
| | | 11.9 | Non Compliance with Employment legislation | HR Director | 1 | 1 | 1 | HR Strategy | Obtain legislation updates and legal advice | HR policies and Manager training | Low | Low |

Appendix: Risks managed by the Human Resources department (Partners)

THE HEALTH PROFESSIONS COUNCIL

RISK ASSESSMENT February 2009

Partners

| Ref | Category | Ref | Description | Risk owner (primary person responsible for assessing and managing the ongoing risk) | Impact before mitigation February 2009 | Likelihood before mitigation February 2009 | Risk Score = Impact x Likelihood | Mitigation I | Mitigation II | Mitigation III | RISK score after Mitigation February 2009 | RISK score after Mitigation September 2008 |
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| 6 | Partners | 6.1 | Inability to recruit and/or retain suitable Partners | Partner Manager | 1 | 1 | 1 | Sound recruitment strategy. Training | HR Strategy: Appropriate compensation package in place. | Regular appraisal system | Low | Low |
| | | | Links to 4.10, 11.3, 7.3, 7.5 | | | | | | | | | |
| | | 6.2 | Incorrect interpretation of law and/or SI's resulting in CHRE review | Director of FTP & Director of Educations | 1 | 1 | 1 | Training | Legal Assessors advice availability | Regular appraisal system | Low | Low |
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| | | 6.3 | Health & Safety of Partners | Partner Manager | 1 | 1 | 1 | Personal Injury and Travel insurance. Liability Insurance | Road Safety policy (for vehicle drivers) with training to follow | Restricted access to the building site (22/26 Stannary St) | Low | Low |
| | | | Links to 4.9, 11.5 | | | | | | | | | |

| Apr-09 | May-09 | Jun-09 | Jul-09 | Aug-09 | Sep-09 | Oct-09 | Nov-09 | Dec-09 | Jan-10 | Feb-10 | Mar-10 |
|---|---|--|--------------------------------------|--------------------------------------|---------------------------------|----------------------------------|---|---------------------------------------|---------------------------------------|--------|-------------------------------------|
| Reg Assessor Refresher Training | Reg Assessor Refresher Training | Reg Assessor Training (new) | | | | | Registration Assessor Training - New - Hearing Aid Audiologists | | | | |
| Advertising - CPD Assessor - CS, PO, SL and OT & BS | | | | Advertising - CPD Assessors - RA | | Advertising - CPD Assessors - PH | | Advertising - CPD Assessors - AS & DT | | | |
| Interviews - CPD Assessor - OR & PA | Interviews - CPD Assessors - CS, PO, SL and OT & BS | | | | Interviews - CPD Assessors - RA | | Interviews - CPD Assessors - PH | | Interviews - CPD Assessors - AS & DT | | |
| | w/c 17.05.08 - CPD Training Day OR & PA | w/c 21.06.09 CPD Training Day CS, PO, SL | w/c 19.07.09 CPD Training Day OT, BS | w/c 16.08.09 CPD Training Day OT, BS | | | w/c 16.11.09 CPD Training Day RA | | w/c 18.01.10 CPD Training Days x 2 PH | | w/c 22.03.10 CPD Training Day AS/DT |

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| | New Panel Chair Training (x8) | | | | | Panel Chair refresher training (early Oct) | Panel Member Training - New - Hearing Aid Audiologists | | | Panel Chair refresher training (TBC - per budget) | |
| New Panel members training (PA / AS - music) | Panel member refresher training | Panel member refresher training | | | | | | | | | |
| Panel Members (Med Ass) advertising | | Panel Members (Med Ass) Training | | | Legal Assessor Refresher training (Late Sept) | | | | | | |
| | | | | | Visitor Refresher Training | Visitor Training - New - Hearing Aid Audiologists | | | | | |
| | Key: | | | OR=Orthoptist | | | | | | | |
| | Registrations | | | PA=Paramedic | | | | | | | |
| | FTP | | | CS=Clinical Scientist | | | | | | | |
| | Education | | | PO=Podiatrist | | | | | | | |
| | | | | SL = Speech and Language Therapist | | | | | | | |
| | | | | RA= Radiographer | | | | | | | |
| | | | | PH=Physiotherapists | | | | | | | |
| | | | | AS- Arts Therapist | | | | | | | |
| | | | | DT=Dietician | | | | | | | |