

Audit Committee, 24 June 2014

Risk Assurance Mapping and Strategic Objectives

Executive summary and recommendations

Introduction

At the Audit Committee meeting of 20th 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

17June 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.

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	Management Review	KPIs Quality Checking	o Bu	oing Review and Objectives	Systems Controls Segregation and	dures	force Planning sss Opportunity ssessment	Operational Risk Management Exception Reporting	Leadership Team	Risk Management Group	Governance Steering	Corporate Governance Framework Policies	icles	Strategic Partnership Management Evolution - People	Project Board	Board Audit and Risk Management Committee	nuneration ommittee	DH Sponsors	NAO NAO NHS Protect/I CES	rnal auditors	rnment Property Unit	Third Party Assurance Governance and Assurance Committee	ISO/British Standards Other (Treasury/HSE	etc) 2006/07	2007/08	2009/10	2010/11	2011/12	2013/14	Assurance appetite Assurance provision	Assurance provision
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orporate governance usiness continuity/Disaster Recovery isk management process	•				•			•	•		•	•			•	• •			•		•	•			•		•	•			
compliance with H & S legislation raud (fraud risk management, whistleblowing LCFS) ocal security management service (LSMS)	•	•			• •			•	•			•				• •								•				•) •		
Complaints Idarris Review Cinance	•								•	•		•		•		• •	• (•	•									•		
Financial Accounting Financial treatment of fixed assets Accounting policies	•															•			•	•											
NHSBSA Annual Accounts VAT reclaim process Treasury Management (Bank accounts, receipting and funding)	•	•			•			•	•	•						•			•	•				•	•	•		•			
Pension Scheme: Annual Accounts Pension Scheme: Estimates and HMT/OBR Forecasts Pensions Scheme: Completeness of Scheme Income	•								•							•			•												
Accounts Payable Raising Orders	•	•			• •			•	•			•				•			•	•				•		•			•		
Accounts Receivable Payroll and Pensions Payroll (salary and redundancies) Redundancy payments process					• •						•						•		• •					•		•					
Redundancy payments process Pensions Scheme administration Third party payments Expenses					•				•		•	•	•			•			• •			•		•		•	•		•		
Financial Management Financial planning and budget setting Financial Reporting	•				•				•			•				•				•								•			
User maintenance Month and year end processes					• •						•									•							•	• •			
SB File Loads Property and Facilities Management Property Strategy	•							• •	_	•				+	•				•		•				•			•			
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Redundancy estimates and approvals Policy & employmnet law advice quality & diversity					•																	•									
Compliance with Equality act R Administration Recruitment					• •				•		T					•				•		•		•	0 0	-		•			
Data processing of starters, changes & leavers Processing loan and salary sacrifice schemes Archiving of data Civil service pension scheme administration					•															•		•				•	•				
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perational Sourcing trategic sourcing upplier Legislative Compliance - Health and Safety	•				• •			•		•		•		•	•	•			•	•	•	•				•	•	•	•		
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isk Management Monitoring/Assessment/Examination atient Services BECS - sampling					• •			• •						•		•		•		•						•					
BECS - sampling BECS - penalty notices/recovery Patient Refunds Appliance Refunds & Charges	•	•			• •			• • • • • • • • • • • • • • • • • • •		•	•			•	•			•	•	•											
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- Processing FP17s & Data Transfer ensions					• •			• •						•				•		•		•		•				• •			
Administration of NHS pension Scheme End of Year Process Reconciliations Iformation Services					• •					•	•			•				•		•		•					_				
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- Data Sharing - Information Requests HS Pensions:	•	•			• •																	•									
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uality and accuracy of Pension events ccuracy and completeness of data jury Benefits		• •			• • • • • • • • • • • • • • • • • • •					•								•	• •						•			•			
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Data quality and validation checks Making Payment Pharmacy Early Payments Scheme	•	•		 	• • • • • • • • • • • • • • • • • • •			• •	•	•	•	•				• •						•		•		•	•	• •			
Delivering of reports/systems to NHS users Data/Information Provision (includes NPC, QIPP, Specials, service desk, Queries, FOI, PQs)	•				• •			• •		•		•	•		•	• •			• •					•		•	•	•			
Provision and provision of Drug Tariff Approval of Medical Devices for inclusion in DT	•	+						• •																	0						
HS Student Bursaries: sessment and payments entification and recovery of overpayments					• •			•	•	•						• •			• •		+	•		•	0 0	•		0 0			
ocial Work Bursaries ssessment and payments entification and recovery of overpayments	•	_			• •	•		•	•	•	•				•	• •			• •						0 0	0					
HS Help with Health Costs uropean Health Insurance Card	•	•			• •				•	•	•				•	•										•		•			
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Procurement rules Catalogue Information requests	•				•					•				•		•				•											
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DH services Anti-embarrassment cap Debtor/creditor days Working capital income	•	•			•					•				•		• • • • • • • • • • • • • • • • • • •		•	•	•		•				•					
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elivery Mechanics (Change) rojects, Programmes, Portfolio usiness Case Development and Approval	•								•			•				•												•			
enefits Realisation ontract Management Capita ontract Management Equiniti Paymaster	•	• •				•		• •		•	•				•	•				•											
ient Engagement echnology Solutions Infrastructure					• •			• •			•			•	•	• •			•			•									
Applications and software ace activity: act line of defence: Management control and reporting	•	High	n Assurai			ln	ternal Audit			se/ Cois			A Unqua	lified	A	ssurance A		guranos	uired ! ·	hie or			Provision		_ •				of existi	ng assurai	
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			ited Assu																				ential to inc							weaknesse	

			Risk owner (primary person
Category	Ref#	Description	responsible for assessing and managing the ongoing risk)
Strategic		HCPC fails to deliver SI Sec 6.2 & Health	
SO1.GG	1.1	Bill	Council
Strategic		Failure to abide by current Equality &	
SO1.GG	1.6	Diversity legislation	Chief Executive
SO2.EBP		Divoroity logiciation	
Operations	0.4	Inability to occupy premises or use interior	E 1991 A4
SO1.GG SO2.EBP	2.1	equipment	Facilities Manager
Operations			
SO1.GG	2.3	Unacceptable service standards	Director of Operations
SO2.EBP			
Operations		Inability to communicate via postal convisce	
SO1.GG	2.4	Inability to communicate via postal services (e.g. Postal strikes)	Facilities Manager
SO2.EBP		(c.g. 1 ostal strikes)	
Operations	0.5	Public transport disruption leading to	Facilities Manager 8 Haz I B. B.
SO1.GG SO2.EBP	2.5	inability to use Park House	Facilities Manager & Head Bus Proc
Operations			
SO1.GG	2.6	Inability to accommodate HCPC	Facilities Manager
SO2.EBP		employees	
Operations			
SO1.GG	2.7	Interruption to electricity supply	Facilities Manager
SO2.EBP			
Operations SO1.GG		Interruption to gas supply	Facilities Manager
SO2.EBP	2.8	Interruption to gas supply	i aonities ivianayen
Operations			
SO1.GG		Interruption to water supply	Facilities Manager
SO2.EBP	2.9		-
Operations		Telephone system failure causing	
SO1.GG	2.10	protracted service outage	Director of IT
SO2.EBP Operations			
SO1.GG	2.11	Basement flooding	Facilities Manager
SO2.EBP			
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 acton; disrupts planned external activities	Director of Operations & Head Bus Proc
Operations SO1.GG	2.14 (formerly11. 5)	Health & Safety of employees	Chief Executive & Facilities Manager
Operations			Director of FTP, Director of Education,
SO1.GG	2.15	Expenses abuse by Partners not prevented	Head of Registration, Partner Manager
SO2.EBP Communicatio			<u> </u>
ns SO3.Com		Publication of material not approved for	
SO1.GG	3.5	release	Director of Comms
SO2.EBP			
Corporate			
Governance	4.1	Council inability to make decisions	Secretary to Council & Chair
SO1.GG			
Corporate Governance	4.2	Council members conflict of interest	Chair
SO1.GG	4.4	Council members commit of filterest	Onail
Corporate			
Governance SO1.GG SO4.Evid	4.3	Poor decision-making eg conflicting advice or conflicting advice and decisions	Chair
JJT.LVIU			

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Corporate			
Governance	4.4	Failure to meet Council/Committee	Secretary to Council
SO1.GG		quorums	occionally to occurrent
SO2.EBP			
Corporate		l.,	
Governance	4.5	Members' poor performance	Chair
SO1.GG			
Corporate			
Governance	4.6	Poor performance by the Chair	Council
SO1.GG			
Corporate			L
Governance	4.7	Poor performance by Chief Executive	Chair
SO1.GG			
Corporate	4.0	Improper financial incentives offered to	0
Governance	4.8	Council members/employees	Chair and Chief Executive
SO1.GG		, ,	
Corporate		Failure to ensure the Health & Safety of	Secretary to Council, Facilities
Governance	4.9	Council Members	Manager & Finance Director
SO1.GG			<u> </u>
Corporate	4.40	Member recruitment problem (with the	SI :
Governance	4.10	requisite skills)	Chair
SO1.GG		<u> </u>	
Corporate		<u></u>	
Governance	4.11	Expense claim abuse by members	Secretary to Council
SO1.GG			
Corporate			
Governance	4.12	Operationalise Section 60 legislation	Council
SO1.GG		The second of th	
SO2.EBP			
Corporate			
Governance	4.13	Failure to comply with DPA 1998 or FOIA	Secretary to Council
SO1.GG		2000, leading to ICO action	
SO2.EBP			
Corporate			
Governance	4.14	Transition to smaller Council	Chair & Secretary to Council
SO1.GG			
Corporate		Failure to adhere to the requirements of	
Governance	4.15	the Bribery Act 2010	Chair & Secretary to Council
S01.GG		•	
IT SO2.EBP	5.1	Software Virus damage	Director of IT
SO1.GG			
IT SO2.EBP	5.2	Technology obsolescence, (Hard/SoftWare)	Director of IT
SO1.GG IT SO2.EBP		(Halu/Sultwale)	
SO1.GG	5.3	Fraud committed through IT services	Director of IT
IT SO2.EBP			
SO1.GG	5.4	Failure of IT Continuity Provision	Director of IT
IT SO2.EBP		Malicious damage from unauthorised	
SO1.GG	5.5	access	Director of IT
IT SO2.EBP			
SO1.GG	5.6	Data service disruption (via utility action)	Director of IT
Partners			
SO1.GG		Inability to recruit and retain suitable	
SO2.EBP	6.1	Partners	Partner Manager
SO6.HmCty		1	
Partners	6.2	Incorrect interpretation of law and/or SI's	Director of FTP, Director of Education,
SO1.GG		resulting in PSAHSE review	Head of Registration, Partner Manager
Partners			
SO1.GG	6.3	Health & Safety of Partners	Partner Manager
SO2.EBP			
			•

Partners SO1.GG	6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager
SO2.EBP Partners SO1.GG	6.5	Incorrect interpretation of HSWPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager
Partners SO1.GG SO2.EBP	6.6	Adequate number and type of partner roles	Partner Manager, Director of FTP, Director of Education, Head of Registration
SO6.HmCty Partners SO1.GG SO2.EBP	6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration
Education SO4.Evid SO1.GG	7.1	Failure to detect low education providers standards	Director of Education
Education SO1.GG	7.5	Education database failure	Director of IT
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
Project Management SO1.GG SO2.EBP	8.1	Fee change processes not operational by required date	Director of Finance Project Portfolio Manager
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	8.13	Failure to deliver a system & process review of the Education department	Director of Education Project Portfolio Manager
Project Management SO1.GG SO2.EBP	8.14	Failure to deliver a system & w of the HR & Partners departments	Director of HR Project Portfolio Manager
Project Management SO1.GG SO2.EBP	8.15	Professional Indemnity Insurance. Unable to delivery statutory requirements	Director of Operations & 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
Project Management SO1.GG SO2.EBP	8.17	Organisation wide resourcing may impact project delivery	EMT & Project Portfolio Manager
Quality Management. SO1.GG SO2.EBP	9.1	Loss of ISO 9001:2008 Certification	Director of Operations, Head of Business Improvement
Quality Management. SO1.GG SO2.EBP	9.2	Employees non-compliance with established Standard Operating Proceedures	EMT

Denistration		T	
Registration			Diversity of Operation 11 1 1
SO1.GG	10.1	Customer service failures	Director of Operations, Head of
SO2.EBP			Registration
SO3.Com			
Registration			Director of Operations, Head of
SO1.GG	10.3	Inability to detect fraudulent applications	Registration
SO2.EBP			i legistration
Registration			Director of Operations Lload of
SO1.GG	10.4	Backlogs of registration and applications	Director of Operations, Head of
SO2.EBP			Registration
Registration		Mistake in the Registration process leading	D:
SO1.GG	10.5	to liability for compensation to Registrant or	Director of Operations, Head of
SO2.EBP		Applicant	Registration
HR SO1.GG			
SO2.EBP	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
		Lack of toohnical and managerial skills to	
HR SO1.GG SO2.EBP	11.4	Lack of technical and managerial skills to	Chief Executive
		delivery the strategy	
HR SO1.GG	11.6	High sick leave levels	EMT
SO2.EBP			
HR SO1.GG	11.7	Employee and ex-employee litigation	HR Director
HR SO1.GG	11.8	Employer/employee inappropriate	HR Director
SO2.EBP	11.0	behaviour	In Director
HR SO1.GG	11.0	Non-compliance with Employment	LID Director
SO2.EBP	11.9	legislation	HR Director
Legal SO1.GG			
SO2.EBP			
SO3.Com		Judicial review of HCPC's implimentation	
SO4.Evid	12.1	of HSWPO including Rules, Standards &	Chief Executive
SO5.IPA		Guidance	
SO6.HmCty			
Legal SO1.GG			
SO2.EBP			
SO3.Com			
	12.2	Legal challenge to HCPC operations	Chief Executive
SO4.Evid			
SO5.IPA			
SO6.HmCty		<u> </u>	
Fitness to			
Practise	13.1	Legal cost over-runs	FTP Director
SO2.EBP		J	
SO1.GG			
Fitness to			
Practise	13.3	Tribunal exceptional costs	FTP Director
SO2.EBP	10.0		
SO1.GG			
Fitness to			
Practise	13.4	Rapid increase in the number of	FTP Director
SO2.EBP	13.4	allegations and resultant legal costs	I II DIIECIOI
SO1.GG			
Fitness to			
Practise	40-	lue.	ETD D:
SO2.EBP	13.5	Witness non-attendance	FTP Director
SO1.GG			
Fitness to			
Practise	13.6	Employee/Partner physical assault by	FTP Director
SO1.GG	10.0	Hearing attendees	
301.00			

		T	T
Fitness to			
Practise	13.7	High Number of Registration Appeals	FTP Director & Director of Operations,
SO2.EBP	13.7	High Number of Registration Appears	Head of Registrations
SO1.GG			
Fitness to			
Practise			
	13.8	Backlog of FTP cases	FTP Director
SO2.EBP			
SO1.GG			
Fitness to			
Practise	40.0	Excessive cases per Case Manager	ETD D:
SO2.EBP	13.9	workload	FTP Director
SO1.GG			
Fitness to			
		Drestronted comice cutors following a Con-	
Practise	13.10	Protracted service outage following a Case	Director of IT
SO2.EBP		Management System failure	
SO1.GG			
Policy &			
Standards			
SO1.GG		Incorrect process followed to establish	
SO2.EBP	14.1	stds/guidance/policy eg no relevant	Policy & Stds Director
SO4.Evid		Council decision	
SO3.Com			
Policy &			
Standards		Inappropriate stds/guidance published eg	
SO3.Com	14.2	stds are set at inappropriate level, are too	Council/committees
SO2.EBP		confusing or are conflicting	
S01.GG		a community or an experience of	
Policy &			
_			
Standards	14.3	Changing/evolving legal advice rendering	Policy & Stds Director
SO1.GG		previous work inappropriate	
SO4.Evid			
Policy &		DI O	Delian & Otala Discartas HODO Obasis
Standards	14.5	PLG member recruitment without requisite	Policy & Stds Director HCPC Chair,
SO1.GG		skills and knowledge	Secretary to Council(?)
Policy &			
Standards			
SO1.GG			
	14.6	Loss of Corporate Memory	Policy & Stds Director
SO2.EBP		' '	1
SO4.Evid			
SO3.Com			
Finance			
SO1.GG	15.1	Insufficient cash to meet commitments	Finance Director
SO2.EBP	_		
Finance		 	
SO1.GG	15.2	Unexpected rise in operating expenses	EMT
	13.4	onexpected rise in operating expenses	LIVII
SO2.EBP		+	
Finance			
SO1.GG	15.3	Major Project Cost Over-runs	Project Lead / EMT
SO2.EBP			
Finance			
SO1.GG	15.5	Inability to pay creditors	Finance Director
SO2.EBP			
Finance		†	
SO1.GG	15.6	Inability to collect from debtors	Finance Director
	15.6	maximy to conect norm deptors	II IIIAIICE DIIECIUI
SO2.EBP		 	
Finance			
SO1.GG	15.7	Registrant Credit Card record fraud/theft	Finance Director
SO2.EBP			
Finance		B (6	
SO1.GG	15.8	Receipt of fee income as per collection	Finance Director
SO2.EBP		schedule	
JUZ.EDF			<u>l</u>

Finance SO1.GG SO2.EBP	15.9	Mismatch between Council goals & approved financial budgets	Chief Executive
Finance SO1.GG SO2.EBP	15.10	Unauthorised payments to organisations	Finance Director
Finance SO1.GG SO2.EBP	15.11	Unauthorised payments to personnel	Finance Director
Finance SO1.GG SO2.EBP	15.12	Unauthorised removal of assets (custody issue)	Facilities Manager
Finance SO1.GG SO2.EBP	15.13	Mis-signing of cheques (forgery)	Finance Director
Finance SO1.GG SO2.EBP	15.14	Non compliance with FReM reporting	Finance Director
Finance SO1.GG SO2.EBP	15.15	Qualified opinion received by the Auditors on the Statutory Financial Statements	Finance Director
Finance SO1.GG SO2.EBP	15.16	Late submission of the Annual Report, beyond sector standards	Secretary to Council
Finance SO1.GG SO2.EBP	15.18	PAYE/NI compliance	Finance Director
Finance SO1.GG SO2.EBP	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

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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
			Risk owner (primary person
			responsible for assessing and
Category	Ref #	Description	managing the ongoing risk)
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 acton; disrupts planned external activities	Director of Operations & Head Bus Proc

Communicatio ns SO3.Com SO2.EBP SO6.HmCty 3.3 Inability to inform stakeholders following crisis Director of Comms	
SO2.EBP 3.3 Crisis Director of Comms	
SO2.EBP Crisis	
SO6 HmCtv	
Communicatio	
ns SO3.Com 3.4 Failure to inform Registrants Article 3 (13) Director of Comms	
SOZ.EBP	
SO6.HmCty	
Communicatio	
ns SO3 Com Publication of material not approved for	
SO1.GG 3.5 release Director of Comms	
33.13.5	
SO2.EBP	
Corporate	
Governance Failure to meet Council/Committee	
SO1.GG 4.4 Secretary to Council	
SO2.EBP	
Corporate	
Governance 4.12 Operationalise Section 60 legislation Council	
SO1.GG 4.12 Operationalise Section of legislation	
SO2.EBP	
Corporate	
Governance 4.13 Failure to comply with DPA 1998 or FOIA Secretary to Council	
2000, leading to ICO action	
SO2.EBP	
IT SO2 FRP	
SO1.GG 5.1 Software Virus damage Director of IT	
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SO1.GG (Hard/SoftWare)	
IT SO2.EBP 5.3 Fraud committed through IT services Director of IT	
SO1.GG 5.3 Fraud committed through IT services Director of IT	
IT SO2 FRD	
SO1.GG 5.4 Failure of IT Continuity Provision Director of IT	
IT SO2.EBP S.5 Malicious damage from unauthorised Director of IT	
SO1.GG access	
IT SO2.EBP Data service disruption (via utility action) Director of IT	
SO1.GG Data service disruption (via utility action) Director of IT	
Partners	
SOZ.EBP FAITHERS	
SO6.HmCty	
Partners	
SO1.GG 6.3 Health & Safety of Partners Partner Manager	
SO2.EBP	
Partners Director of FTP, Direct	tor of Education.
SO1.GG 6.4 Partners poor performance Head of Registration	
SO2.EBP	managor
Partners Divo	-t (CTD
SO1.GG Partner Manager, Dire	
Adequate number and type of partner roles Director of Education,	Head of
I Bedistration	
SO6.HmCty Posterior	-1
Partners User departments using non-active Partner Manager, Director of Education	
Director of Education,	Head of
SO2.EBP Registration	
Education	
Education providers refusing visits or not Director of Education	
SO2.EBP submitting data	
Education Inability to conduct visits and monitoring	
SO3.Com tasks Director of Education	
SO2.EBP	
Education	
SO3 Com 7.4 Loss of support from Education Providers Chief Executive or Direction Providers	ector of
I I I I I I I I I I I I I I I I I I I	
SO2.EBP	

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

Policy & Standards		Inappropriate stds/guidance published eg	
SO3.Com SO2.EBP SO1.GG	14.2	stds are set at inappropriate level, are too confusing or are conflicting	Council/committees
Policy & Standards SO1.GG	14.6	Loss of Corporate Memory	Policy & Stds Director
SO2.EBP SO4.Evid SO3.Com	14.0	Loss of corporate Memory	Tolley & Glas Birector
Finance SO1.GG SO2.EBP	15.1	Insufficient cash to meet commitments	Finance Director
Finance SO1.GG SO2.EBP Finance	15.2	Unexpected rise in operating expenses	ЕМТ
SO1.GG SO2.EBP Finance	15.3	Major Project Cost Over-runs	Project Lead / EMT
SO1.GG SO2.EBP Finance	15.5	Inability to pay creditors	Finance Director
SO1.GG SO2.EBP Finance	15.6	Inability to collect from debtors	Finance Director
SO1.GG SO2.EBP	15.7	Registrant Credit Card record fraud/theft	Finance Director
Finance SO1.GG SO2.EBP Finance	15.8	Receipt of fee income as per collection schedule	Finance Director
SO1.GG SO2.EBP Finance	15.9	Mismatch between Council goals & approved financial budgets	Chief Executive
SO1.GG SO2.EBP Finance	15.10	Unauthorised payments to organisations	Finance Director
SO1.GG SO2.EBP Finance	15.11	Unauthorised payments to personnel	Finance Director
SO1.GG SO2.EBP Finance	15.12	Unauthorised removal of assets (custody issue)	Facilities Manager
SO1.GG SO2.EBP Finance	15.13	Mis-signing of cheques (forgery)	Finance Director
SO1.GG SO2.EBP Finance	15.14	Non compliance with FReM reporting	Finance Director
SO1.GG SO2.EBP	15.15	Qualified opinion received by the Auditors on the Statutory Financial Statements	Finance Director
Finance SO1.GG SO2.EBP	15.16	Late submission of the Annual Report, beyond sector standards	Secretary to Council
Finance SO1.GG SO2.EBP	15.18	PAYE/NI compliance	Finance Director
Finance SO1.GG SO2.EBP	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	
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 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	

Communicatio ns SO3.Com SO1.GG	
SO1.GG Communicatio ns SO5.IPA SO3.Com	
Communicatio	
SO3.Com SO3.	
SO3.Com or government Communicatio ns SO3.Com SO2.EBP SO6.HmCty Communicatio ns SO3.Com SO3	
Communication	
Inability to inform stakeholders following crisis Director of Comms	
SO2.EBP SO6.HmCty Communicatio ns SO3.Com SO2.EBP SO6.HmCty Communicatio ns SO3.Com SO1.GG SO1.GG SO2.EBP Education SO3.Com SO2.EBP Education SO3.Com SO3.Com SO2.EBP Education SO3.Com S	
SO2.EBP SO6.HmCty Communicatio ns SO3.Com SO2.EBP SO6.HmCty Communicatio ns SO3.Com SO1.GG SO2.EBP Education SO3.Com	
Communication	
ns SO3.Com SO2.EBP SO6.HmCty 3.4 Failure to inform Registrants Article 3 (13) Director of Comms Communication ns SO3.Com SO1.GG SO2.EBP 3.5 Publication of material not approved for release Director of Comms Education SO3.Com SO2.EBP 7.2 Education providers refusing visits or not submitting data Director of Education Education SO3.Com SO2.EBP 7.3 Inability to conduct visits and monitoring tasks Director of Education Education SO3.Com 7.4 Loss of support from Education Providers Chief Executive or Director of Education	
SO2.EBP SO6.HmCty Communicatio ns SO3.Com SO1.GG SO2.EBP Education SO3.Com SO2.EBP Education SO3.Com S	
SO2.EBP SO6.HmCty Communicatio ns SO3.Com SO1.GG SO2.EBP Education SO3.Com SO2.EBP Education SO3.Com SO3.Co	
Communicatio ns SO3.Com SO1.GG SO2.EBP Education SO3.Com SO3.C	
ns SO3.Com SO1.GG SO2.EBP 3.5 Publication of material not approved for release Director of Comms Education SO3.Com SO2.EBP 7.2 Education providers refusing visits or not submitting data Director of Education Education SO3.Com SO2.EBP 7.3 Inability to conduct visits and monitoring tasks Director of Education Education SO3.Com 7.4 Loss of support from Education Providers Chief Executive or Director of Education	
SO1.GG SO2.EBP Education SO3.Com SO3.	
SO1.GG SO2.EBP Education SO3.Com SO2.EBP Education SO3.Com S	
Education SO3.Com SO2.EBP Education SO3.Com SO3.Com SO3.Com SO3.Com SO3.Com SO3.EBP Education SO3.Com	
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SO3.Com SO2.EBP Education SO3.Com SO3.Com SO2.EBP Education SO3.Com	
SO2.EBP submitting data Education SO3.Com SO2.EBP Inability to conduct visits and monitoring tasks Director of Education Chief Executive or Director of Education Chief Executive or Director of Education Chief Executive or Director of Education	
Education SO3.Com SO2.EBP Education SO3.Com SO3.Com T.4 Inability to conduct visits and monitoring tasks Director of Education Chief Executive or Director of Education Chief Executive or Director of Education	
SO3.Com SO2.EBP Education SO3.Com T.4 Loss of support from Education Providers Chief Executive or Director of Education Chief Executive or Director of Education	
SO2.EBP tasks Education SO3.Com 7.4 Loss of support from Education Providers Chief Executive or Director of Education	
Education SO3.Com 7.4 Loss of support from Education Providers Chief Executive or Director of Education	
SO3.Com 7.4 Loss of support from Education Providers Chief Executive or Director of Education	
Teducation	
Registration	
SO1.GG Director of Operations, Head of	
SO2.EBP 10.1 Customer service failures Registration	
SO3.Com	
Registration Durant description	
SO2 FRD 10.2 Protracted service outage following a Director of IT	
SO3.Com NetRegulate Registration system failure	
Legal SO1.GG	
SO2.EBP	
SO3.Com Judicial review of HCPC's implimentation	
SO4.Evid 12.1 of HSWPO including Rules, Standards & Chief Executive	
SO5.IPA Guidance	
SO6.HmCty	
Legal SO1.GG	
SO2.EBP	
SO3 Com	
SO4.Evid 12.2 Legal challenge to HCPC operations Chief Executive	
SO5.IPA	
SO6.HmCty	
Policy &	
Standards ,	
SO1 GG Incorrect process followed to establish	
14.1 stds/guidance/policy eg no relevant Policy & Stds Director	
SO4.Evid Council decision	
SO3.Com Policy &	
inappropriate state, guidantes passiones og	
SO3.Com 14.2 stds are set at inappropriate level, are too Council/committees confusing or are conflicting	
S01.GG	
Policy & Standards	
Standards SO1.GG	
I 14.6 Illoss of Corporate Memory IPolicy & Stds Director	
SOZEBP ' ' '	
SO4.Evid	
SO3.Com	

			Risk owner (primary person	
			responsible for assessing and	
Category	Ref #	Description	managing the ongoing risk)	
Corporate				
Governance	4.3	Poor decision-making eg conflicting advice	Chair	
SO1.GG	1.0	or conflicting advice and decisions	onan	
SO4.Evid				
Education		Failure to detect low education providers		
SO4.Evid	7.1	standards	Director of Education	
SO1.GG				
Education		Loss or significant change to funding,		
SO4.Evid	7.6		Director of Education	
SO2.EBP		for approved programmes		
SO1.GG CPD SO2.EBP	10.6 (18.1-		Director of Operations Head of	
SO4.Evid	7.5)	CPD processes not effective	Director of Operations, Head of Registration	
Legal SO1.GG	7.5)		negistration	
SO2.EBP				
SO3.Com		Judicial review of HCPC's implimentation		
SO4.Evid	12.1	of HSWPO including Rules, Standards &	Chief Executive	
SO5.IPA		Guidance		
SO6.HmCty				
Legal SO1.GG				
SO2.EBP				
SO3.Com				
SO4.Evid	12.2	Legal challenge to HCPC operations	Chief Executive	
SO5.IPA				
SO6.HmCty				
Policy &				
Standards				
SO1.GG		Incorrect process followed to establish		
SO2.EBP	14.1	stds/guidance/policy eg no relevant	Policy & Stds Director	
SO4.Evid		Council decision		
SO3.Com				
Policy &				
Standards	440	Changing/evolving legal advice rendering	Delian O Otala Dinastan	
SO1.GG	14.3	previous work inappropriate	Policy & Stds Director	
SO4.Evid				
Policy &				
Standards				
SO1.GG	14.6	Loss of Corporate Memory	Policy & Stds Director	
SO2.EBP	14.0	Leas of corporate Memory	l olicy a oldo Birooloi	
SO4.Evid				
SO3.Com			Diek eumen /n ::	
			Risk owner (primary person responsible for assessing and	
Category	Ref #	Description	managing the ongoing risk)	
Strategic	1101#	Description	managing the ongoing nach	
SO5.IPA				
SO3.Com	1.2	Unexpected change in UK legislation	Chief Executive	
SO6.HmCty				
Strategic				
SO5.IPA	1.3	Incompatible SI Sec 6.2 & Health Bill and	Chief Executive	
SO6.HmCty		EU legislation		
Communicatio		Loss of support from Key Stake holders		
ns SO5.IPA	3.2	including professional bodies, employers	Director of Comms	
SO3.Com		or government		
Legal SO1.GG				
SO2.EBP		L P. L. C. CHOROL . II		
SO3.Com	10.1	Judicial review of HCPC's implimentation	Chief Evenutive	
SO4.Evid	12.1	of HSWPO including Rules, Standards &	Chief Executive	
SO5.IPA		Guidance		
SO6.HmCty				
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Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty Policy &	12.2	Legal challenge to HCPC operations	Chief Executive
Standards SO5.IPA SO6.HmCty	14.4	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	ЕМТ
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
Strategic SO3.Com SO6.HmCty	1.5	Loss of reputation	Chief Executive & Chair
Communicatio ns SO3.Com SO2.EBP SO6.HmCty	3.3	Inability to inform stakeholders following crisis	Director of Comms
Communicatio ns 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 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	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	ЕМТ
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Strategic Objective Name	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the on going risk)
Good governance	Strategic SO1.GG	1.1	HCPC fails to deliver SI Sec 6.2 & Health Bill	Council
Good governance	Strategic SO1.GG SO2.EBP	1.6	Failure to abide by current Equality & Diversity legislation	Chief Executive
Good governance	Operations SO1.GG SO2.EBP	2.1	Inability to occupy premises or use interior equipment	Facilities Manager
Good governance	Operations SO1.GG SO2.EBP	2.3	Unacceptable service standards	Director of Operations
Good governance	Operations SO1.GG SO2.EBP	2.4	Inability to communicate via postal services (e.g. Postal strikes)	Facilities Manager
Good governance	Operations SO1.GG SO2.EBP	2.5	Public transport disruption leading to inability to use Park House	Facilities Manager & Head Bus Proc
Good governance	Operations SO1.GG SO2.EBP	2.6	Inability to accommodate HCPC employees	Facilities Manager
Good governance	Operations SO1.GG SO2.EBP	2.7	Interruption to electricity supply	Facilities Manager
Good governance	Operations SO1.GG SO2.EBP	2.8	Interruption to gas supply	Facilities Manager
Good governance	Operations SO1.GG SO2.EBP	2.9	Interruption to water supply	Facilities Manager
Good governance	Operations SO1.GG SO2.EBP	2.10	Telephone system failure causing protracted service outage	Director of IT
Good governance	Operations SO1.GG SO2.EBP	2.11	Basement flooding	Facilities Manager
Good governance	Operations SO1.GG SO2.EBP	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	Operations SO1.GG	2.14 (formerly11.5)	Health & Safety of employees	Chief Executive & Facilities Manager
Good governance	Operations SO1.GG SO2.EBP	2.15	Expenses abuse by Partners not prevented	Director of FTP, Director of Education, Head of Registration, Partner Manager
Good governance	Communication s SO3.Com SO1.GG SO2.EBP	3.5	Publication of material not approved for release	Director of Comms
Good governance	Corporate Governance SO1.GG	4.1	Council inability to make decisions	Secretary to Council & Chair
Good governance	Corporate Governance SO1.GG	4.2	Council members conflict of interest	Chair
Good governance	Corporate Governance SO1.GG SO4.Evid	4.3	Poor decision- making eg conflicting advice or conflicting advice and decisions	Chair
Good governance	Corporate Governance SO1.GG SO2.EBP	4.4	Failure to meet Council/Committee quorums	Secretary to Council
Good governance	Corporate Governance SO1.GG	4.5	Members' poor performance	Chair
Good governance	Corporate Governance SO1.GG	4.6	Poor performance by the Chair	Council
Good governance	Corporate Governance SO1.GG	4.7	Poor performance by Chief Executive	Chair
Good governance	Corporate Governance SO1.GG	4.8	Improper financial incentives offered to Council members/employee s	Chair and Chief Executive
Good governance	Corporate Governance SO1.GG	4.9	Failure to ensure the Health & Safety of Council Members	Secretary to Council , Facilities Manager & Finance Director

Good governance	Corporate	4.10	Member	Chair
	Governance SO1.GG		recruitment problem (with the	
	301.00		requisite skills)	
Good governance	Corporate	4.11	Expense claim abuse	Secretary to
, and a serior manuscript	Governance		by members	Council
	SO1.GG		,	
Good governance	Corporate	4.12	Operationalise	Council
	Governance		Section 60	
	SO1.GG		legislation	
	SO2.EBP			
Good governance	Corporate	4.13	Failure to comply	Secretary to
	Governance		with DPA 1998 or	Council
	SO1.GG SO2.EBP		FOIA 2000, leading to ICO action	
Good governance	Corporate	4.14	Transition to smaller	Chair & Secretary
dood governance	Governance	4.14	Council	to Council
	SO1.GG		Council	to council
Good governance	Corporate	4.15	Failure to adhere to	Chair & Secretary
Cood governance	Governance	25	the requirements of	to Council
	SO1.GG		the Bribery Act 2010	
Good governance	IT SO2.EBP	5.1	Software Virus	Director of IT
- 1	SO1.GG		damage	
Good governance	IT SO2.EBP	5.2	Technology	Director of IT
	SO1.GG		obsolescence,	
			(Hard/SoftWare)	
Good governance	IT SO2.EBP	5.3	Fraud committed	Director of IT
	SO1.GG		through IT services	
Good governance	IT SO2.EBP	5.4	Failure of IT	Director of IT
Condinana	SO1.GG		Continuity Provision	DinastanafiT
Good governance	IT SO2.EBP SO1.GG	5.5	Malicious damage from unauthorised	Director of IT
	301.00		access	
Good governance	IT SO2.EBP	5.6	Data service	Director of IT
dood governance	SO1.GG	3.0	disruption (via utility	Director of th
	301.00		action)	
Good governance	Partners	6.1	Inability to recruit	Partner Manager
-	SO1.GG		and retain suitable	
	SO2.EBP		Partners	
	SO6.HmCty			
Good governance	Partners	6.2	Incorrect	Director of FTP,
	SO1.GG		interpretation of law	Director of
			and/or SI's resulting	Education, Head of
			in PSAHSE review	Registration,
Cood government	Double	6.2	Hoolth O Cofet f	Partner Manager
Good governance	Partners SO1.GG	6.3	Health & Safety of Partners	Partner Manager
	SO1.GG SO2.EBP		raitiieis	
Good governance	Partners	6.4	Partners poor	Director of FTP,
Sood Bovernance		3.7	•	
	SO1.GG		performance	Director of

				Registration, Partner Manager
Good governance	Partners SO1.GG	6.5	Incorrect interpretation of HSWPO in use of Partners	Director of FTP, Director of Education, Head of Registration, Partner Manager
Good governance	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
Good governance	Partners SO1.GG SO2.EBP	6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration
Good governance	Education SO4.Evid SO1.GG	7.1	Failure to detect low education providers standards	Director of Education
Good governance	Education SO1.GG	7.5	Education database failure	Director of IT
Good governance	Education SO4.Evid SO2.EBP SO1.GG	7.6	Loss or significant change to funding, commissioning and placement opportunities for approved programmes	Director of Education
Good governance	Project Management SO1.GG SO2.EBP	8.1	Fee change processes not operational by required date	Director of Finance Project Portfolio Manager
Good governance	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
Good governance	Project Management SO1.GG SO2.EBP	8.13	Failure to deliver a system & process review of the Education department	Director of Education Project Portfolio Manager
Good governance	Project Management SO1.GG SO2.EBP	8.14	Failure to deliver a system & w of the HR & Partners departments	Director of HR Project Portfolio Manager

Good governance	Project	8.15	Professional	Director of
dood governance	Management	0.13	Indemnity	Operations &
	SO1.GG		Insurance. Unable to	Project Portfolio
	SO2.EBP		delivery statutory	Manager
	302.LBF		requirements	ivialiagei
Good governance	Project	8.16	Annotation of the	Director of
Good governance	•	0.10		Operations &
	Management		Register. Failure to	·
	SO1.GG		deliver statutory	Project Portfolio
	SO2.EBP		requirements	Manager
Candaniana	SO6.HmCty	8.17	Ouraniastian wide	FNAT O Duelle et
Good governance	Project	8.17	Organisation wide	EMT & Project
	Management		resourcing may	Portfolio Manager
	SO1.GG		impact project	
•	SO2.EBP		delivery	5:
Good governance	Quality	9.1	Loss of ISO	Director of
	Management.		9001:2008	Operations, Head
	SO1.GG		Certification	of Business
	SO2.EBP			Improvement
Good governance	Quality	9.2	Employees non-	EMT
	Management.		compliance with	
	SO1.GG		established	
	SO2.EBP		Standard Operating	
			Procedures	
Good governance	Registration	10.1	Customer service	Director of
	SO1.GG		failures	Operations, Head
	SO2.EBP			of Registration
	SO3.Com			
Good governance	Registration	10.3	Inability to detect	Director of
	SO1.GG		fraudulent	Operations, Head
	SO2.EBP		applications	of Registration
Good governance	Registration	10.4	Backlogs of	Director of
	SO1.GG		registration and	Operations, Head
	SO2.EBP		applications	of Registration
Good governance	Registration	10.5	Mistake in the	Director of
_	SO1.GG		Registration process	Operations, Head
	SO2.EBP		leading to liability	of Registration
			for compensation to	3
			Registrant or	
			Applicant	
Good governance	HR SO1.GG	11.1	Loss of key HCPC	Chair, Chief
5	SO2.EBP		employees	Executive and EMT
Good governance	HR SO1.GG	11.2	High turnover of	HR Director
J = 1	SO2.EBP		employees	
Good governance	HR SO1.GG	11.3	Inability to recruit	HR Director
	SO2.EBP		suitable employees	
Good governance	HR SO1.GG	11.4	Lack of technical	Chief Executive
2004 DOVERNANCE	SO2.EBP		and managerial skills	Jiller Excounte
	302.201		to delivery the	
			strategy	
Good governance	HR SO1.GG	11.6	High sick leave	EMT
Good governance	SO2.EBP	11.0	levels	LIVII
	JUZ.EDP		ieveis	

Candina	LID CO4 CC	44.7	Familian	LID Dimentor
Good governance	HR SO1.GG	11.7	Employee and ex- employee litigation	HR Director
Good governance	HR SO1.GG	11.8	Employer/employee	HR Director
	SO2.EBP		inappropriate	
			behaviour	
Good governance	HR SO1.GG	11.9	Non-compliance	HR Director
, o	SO2.EBP		with Employment	
			legislation	
Good governance	Legal SO1.GG	12.1	Judicial review of	Chief Executive
	SO2.EBP		HCPC's	
	SO3.Com		implimentation of	
	SO4.Evid		HSWPO including	
	SO5.IPA		Rules, Standards &	
	SO6.HmCty		Guidance	
Good governance	Legal SO1.GG	12.2	Legal challenge to	Chief Executive
	SO2.EBP		HCPC operations	
	SO3.Com			
	SO4.Evid			
	SO5.IPA			
	SO6.HmCty			
Good governance	Fitness to	13.1	Legal cost over-runs	FTP Director
	Practise			
	SO2.EBP			
	SO1.GG			
Good governance	Fitness to	13.3	Tribunal exceptional	FTP Director
	Practise		costs	
	SO2.EBP			
	SO1.GG			
Good governance	Fitness to	13.4	Rapid increase in	FTP Director
-	Practise		the number of	
	SO2.EBP		allegations and	
	SO1.GG		resultant legal costs	
Good governance	Fitness to	13.5	Witness non-	FTP Director
o o	Practise		attendance	
	SO2.EBP			
	SO1.GG			
Good governance	Fitness to	13.6	Employee/Partner	FTP Director
0	Practise SO1.GG		physical assault by	
			Hearing attendees	
Good governance	Fitness to	13.7	High Number of	FTP Director &
	Practise	-	Registration Appeals	Director of
	SO2.EBP		G 111 (PF120)	Operations, Head
	SO1.GG			of Registrations
Good governance	Fitness to	13.8	Backlog of FTP cases	FTP Director
2 3 2 3 6 2 3	Practise			
	SO2.EBP			
	SO1.GG			
Good governance	Fitness to	13.9	Excessive cases per	FTP Director
Sood governance	Practise	13.5	Case Manager	THE DIRECTOR
	SO2.EBP		workload	
	SO1.GG		workloau	
	טט.נטט			

Good governance	Fitness to	13.10	Protracted service	Director of IT
	Practise		outage following a	
	SO2.EBP		Case Management	
	SO1.GG		System failure	
Good governance	Policy &	14.1	Incorrect process	Policy & Stds
	Standards		followed to	Director
	SO1.GG		establish	
	SO2.EBP		stds/guidance/polic	
	SO4.Evid		y eg no relevant	
	SO3.Com		Council decision	
Good governance	Policy &	14.2	Inappropriate	Council/committee
	Standards		stds/guidance	S
	SO3.Com		published eg stds	
	SO2.EBP		are set at	
	SO1.GG		inappropriate level,	
			are too confusing or	
			are conflicting	
Good governance	Policy &	14.3	Changing/evolving	Policy & Stds
	Standards		legal advice	Director
	SO1.GG		rendering previous	
	SO4.Evid		work inappropriate	
Good governance	Policy &	14.5	PLG member	Policy & Stds
	Standards		recruitment without	Director HCPC
	SO1.GG		requisite skills and	Chair, Secretary to
			knowledge	Council(?)
Good governance	Policy &	14.6	Loss of Corporate	Policy & Stds
	Standards		Memory	Director
	SO1.GG			
	SO2.EBP			
	SO4.Evid			
0 1	SO3.Com	45.4		5: 5: .
Good governance	Finance SO1.GG	15.1	Insufficient cash to	Finance Director
	SO2.EBP		meet commitments	
Good governance	Finance SO1.GG	15.2	Unexpected rise in	EMT
	SO2.EBP		operating expenses	
Cardaniana	Fireman CO1 CC	45.2	Maia a Duaia at Cast	Duningt Land / FNAT
Good governance	Finance SO1.GG	15.3	Major Project Cost	Project Lead / EMT
	SO2.EBP		Over-runs	
Good governance	Finance SO1.GG	15.5	Inability to pay	Finance Director
2 2 2 2 30 7 51 1101100	SO2.EBP		creditors	
Good governance	Finance SO1.GG	15.6	Inability to collect	Finance Director
	SO2.EBP		from debtors	
Good governance	Finance SO1.GG	15.7	Registrant Credit	Finance Director
Good governance	SO2.EBP	13.7	Card record	ו ווומוונב טוופננטו
	JUZILUF		fraud/theft	
Good governance	Finance SO1.GG	15.8	Receipt of fee	Finance Director
Good governance	SO2.EBP	13.0	income as per	T ITIGITICE DITECTOR
	JUZILUF		collection schedule	
			conection schedule	

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

			Tendering requirements outside OJEU process	
Good governance	Finance SO1.GG SO2.EBP	15.25	Failure to adhere to OJEU Procurement and Tendering requirements where over thresholds	Finance Director
Good governance	Pensions SO1.GG SO2.EBP	16.2	Non compliance with pensions legislation	Finance Director
Good governance	Pensions SO1.GG SO2.EBP	16.3	Capita Flexiplan funding liability resulting from scheme valuation deficiency	Finance Director
Good governance	Information Security SO1.GG SO2.EBP	17.1	Electronic data is removed inappropriately by an employee	Director of IT
Good governance	Information Security SO1.GG SO2.EBP	17.2	Document & Paper record Data Security	EMT; Head of Business Improvement
Good governance	Information Security SO1.GG SO2.EBP	17.3	Loss of electronic data	EMT, Director of IT and Director of Operations
Good governance	Information Security SO1.GG SO2.EBP	17.4	Data received from third parties	Director of Ops, and Director of FTP
Good governance	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
Good governance	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
Strategic Objective Name	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the on going risk)

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

500 1 1 2	Cornorato	4.4	Failure to mand	Cooretemy to Council
Efficient Business processes	Corporate Governance SO1.GG SO2.EBP	4.4	Failure to meet Council/Committee quorums	Secretary to Council
Efficient Business processes	Corporate Governance SO1.GG SO2.EBP	4.12	Operationalise Section 60 legislation	Council
Efficient Business processes	Corporate Governance SO1.GG SO2.EBP	4.13	Failure to comply with DPA 1998 or FOIA 2000, leading to ICO action	Secretary to Council
Efficient Business processes	IT SO2.EBP SO1.GG	5.1	Software Virus damage	Director of IT
Efficient Business processes	IT SO2.EBP SO1.GG	5.2	Technology obsolescence, (Hard/SoftWare)	Director of IT
Efficient Business processes	IT SO2.EBP SO1.GG	5.3	Fraud committed through IT services	Director of IT
Efficient Business processes	IT SO2.EBP SO1.GG	5.4	Failure of IT Continuity Provision	Director of IT
Efficient Business processes	IT SO2.EBP SO1.GG	5.5	Malicious damage from unauthorised access	Director of IT
Efficient Business processes	IT SO2.EBP SO1.GG	5.6	Data service disruption (via utility action)	Director of IT
Efficient Business processes	Partners SO1.GG SO2.EBP SO6.HmCty	6.1	Inability to recruit and retain suitable Partners	Partner Manager
Efficient Business processes	Partners SO1.GG SO2.EBP	6.3	Health & Safety of Partners	Partner Manager
Efficient Business processes	Partners SO1.GG SO2.EBP	6.4	Partners poor performance	Director of FTP, Director of Education, Head of Registration, Partner Manager
Efficient Business processes	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
Efficient Business processes	Partners SO1.GG SO2.EBP	6.7	User departments using non-active partners	Partner Manager, Director of FTP, Director of Education, Head of Registration
Efficient Business processes	Education SO3.Com SO2.EBP	7.2	Education providers refusing visits or not submitting data	Director of Education
Efficient Business processes	Education SO3.Com SO2.EBP	7.3	Inability to conduct visits and monitoring tasks	Director of Education
Efficient Business processes	Education SO3.Com SO2.EBP	7.4	Loss of support from Education Providers	Chief Executive or Director of Education
Efficient Business processes	Education SO4.Evid SO2.EBP SO1.GG	7.6	Loss or significant change to funding, commissioning and placement opportunities for	Director of Education

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

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

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Efficient Business processes	Fitness to Practise SO2.EBP SO1.GG	13.8	Backlog of FTP cases	FTP Director
Efficient Business processes	Fitness to Practise SO2.EBP SO1.GG	13.9	Excessive cases per Case Manager workload	FTP Director
Efficient Business processes	Fitness to Practise SO2.EBP SO1.GG	13.10	Protracted service outage following a Case Management System failure	Director of IT
Efficient Business processes	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
Efficient Business processes	Policy & Standards 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
Efficient Business processes	Policy & Standards SO1.GG SO2.EBP SO4.Evid SO3.Com	14.6	Loss of Corporate Memory	Policy & Stds Director
Efficient Business processes	Finance SO1.GG SO2.EBP	15.1	Insufficient cash to meet commitments	Finance Director
Efficient Business processes	Finance SO1.GG SO2.EBP	15.2	Unexpected rise in operating expenses	ЕМТ
Efficient Business processes	Finance SO1.GG SO2.EBP	15.3	Major Project Cost Over-runs	Project Lead / EMT
Efficient Business processes	Finance SO1.GG SO2.EBP	15.5	Inability to pay creditors	Finance Director
Efficient Business processes	Finance SO1.GG SO2.EBP	15.6	Inability to collect from debtors	Finance Director
Efficient Business processes	Finance SO1.GG SO2.EBP	15.7	Registrant Credit Card record fraud/theft	Finance Director
Efficient Business processes	Finance SO1.GG SO2.EBP	15.8	Receipt of fee income as per collection schedule	Finance Director
Efficient Business processes	Finance SO1.GG SO2.EBP	15.9	Mismatch between Council goals & approved financial budgets	Chief Executive
Efficient Business processes	Finance SO1.GG SO2.EBP	15.10	Unauthorised payments to organisations	Finance Director

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

Efficient Business processes	Information Security SO1.GG SO2.EBP	17.1	Electronic data is removed inappropriately by an employee	Director of IT
Efficient Business processes	Information Security SO1.GG SO2.EBP	17.2	Document & Paper record Data Security	EMT; Head of Business Improvement
Efficient Business processes	Information Security SO1.GG SO2.EBP	17.3	Loss of electronic data	EMT, Director of IT and Director of Operations
Efficient Business processes	Information Security SO1.GG SO2.EBP	17.4	Data received from third parties	Director of Ops, and Director of FTP
Efficient Business processes	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
Efficient Business processes	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	Director of IT and Director of Operations
			(specific risk).	
Strategic Objective Name	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the on going risk)
	Strategic SO5.IPA SO3.Com SO6.HmCty	Ref #		person responsible for assessing and managing the on
Name	Strategic SO5.IPA SO3.Com		Unexpected change in UK legislation Failure to maintain a relationship with PSA (formerly CHRE)	person responsible for assessing and managing the on going risk) Chief Executive Chief Executive & Chair
Name Communication	Strategic SO5.IPA SO3.Com SO6.HmCty Strategic SO3.Com Strategic SO3.Com SO6.HmCty	1.2	Unexpected change in UK legislation Failure to maintain a relationship with PSA	person responsible for assessing and managing the on going risk) Chief Executive Chief Executive & Chair Chief Executive & Chair
Name Communication Communication	Strategic SO5.IPA SO3.Com SO6.HmCty Strategic SO3.Com Strategic SO3.Com	1.2	Unexpected change in UK legislation Failure to maintain a relationship with PSA (formerly CHRE)	person responsible for assessing and managing the on going risk) Chief Executive Chief Executive & Chair Chief Executive &
Name Communication Communication Communication	Strategic SO5.IPA SO3.Com SO6.HmCty Strategic SO3.Com Strategic SO3.Com Com SO6.HmCty Communications SO3.Com	1.4	Description Unexpected change in UK legislation Failure to maintain a relationship with PSA (formerly CHRE) Loss of reputation Failure to inform public	person responsible for assessing and managing the on going risk) Chief Executive Chief Executive & Chair Chief Executive & Chair

Communication	Communications SO3.Com SO2.EBP SO6.HmCty	3.4	Failure to inform Registrants Article 3 (13)	Director of Comms
Communication	Communications SO3.Com SO1.GG SO2.EBP	3.5	Publication of material not approved for release	Director of Comms
Communication	Education SO3.Com SO2.EBP	7.2	Education providers refusing visits or not submitting data	Director of Education
Communication	Education SO3.Com SO2.EBP	7.3	Inability to conduct visits and monitoring tasks	Director of Education
Communication	Education SO3.Com SO2.EBP	7.4	Loss of support from Education Providers	Chief Executive or Director of Education
Communication	Registration SO1.GG SO2.EBP SO3.Com	10.1	Customer service failures	Director of Operations, Head of Registration
Communication	Registration SO2.EBP SO3.Com	10.2	Protracted service outage following a NetRegulate Registration system failure	Director of IT
Communication	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
Communication	Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.2	Legal challenge to HCPC operations	Chief Executive
Communication	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
Communication	Policy & Standards 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	Policy & Standards SO1.GG SO2.EBP SO4.Evid SO3.Com	14.6	Loss of Corporate Memory	Policy & Stds Director

Strategic Objective Name	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the on going risk)
Build the evidence base of regulation	Corporate Governance SO1.GG SO4.Evid	4.3	Poor decision-making eg conflicting advice or conflicting advice and decisions	Chair
Build the evidence base of regulation	Education SO4.Evid SO1.GG	7.1	Failure to detect low education providers standards	Director of Education
Build the evidence base of regulation	Education 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	CPD 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	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
Build the evidence base of regulation	Legal 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	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
Build the evidence base of regulation	Policy & Standards SO1.GG SO4.Evid	14.3	Changing/evolving legal advice rendering previous work inappropriate	Policy & Stds Director
Build the evidence base of regulation	Policy & Standards SO1.GG SO2.EBP SO4.Evid SO3.Com	14.6	Loss of Corporate Memory	Policy & Stds Director
Strategic Objective Name	Category	Ref #	Description	Risk owner (primary person responsible for assessing and managing the on going risk)
Influence the policy agenda	Strategic SO5.IPA SO3.Com SO6.HmCty	1.2	Unexpected change in UK legislation	Chief Executive

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

Engagement in the four home countries	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
Engagement in the four home countries	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
Engagement in the four home countries	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
Engagement in the four home countries	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
Engagement in the four home countries	Legal SO1.GG SO2.EBP SO3.Com SO4.Evid SO5.IPA SO6.HmCty	12.2	Legal challenge to HCPC operations	Chief Executive
Engagement in the four home countries	Policy & Standards SO5.IPA SO6.HmCty	14.4	Inadequate preparation for a change in legislation (Health Professions Order, or other legislation affecting HCPC)	EMT