

Finance and Resources Committee – 17 March 2010

Registration Department Work Plan 2010 - 2011

Executive summary and recommendations

Introduction

The attached document is the Registration Department's proposed work plan for 2010 – 2011. It details the key objectives, the main areas of work and what we intend to develop within the registration area over the next financial year.

Decision

The Committee is asked to agree the attached Registration Department work plan.

Background information

This document is intended to supplement the Council's strategic intent document and sits alongside other departmental level strategy and work plan documents such as Communications, Finance, IT, Projects, Education, Policy & Standards, Human Resources and Fitness to Practise.

It is a working document and is therefore always under review.

Resource implications

See attached work plan.

Financial implications

See attached work plan.

Appendices

Registration Department Work Plan 2010 – 2011.

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5 March 2010

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Registration Department

2010 – 2011 Work Plan

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March 2010

Registration Department Work Plan 2010 - 2011

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Introduction

Providing a high level of customer service is crucial to the long term success of the Health Professions Council (HPC) and demonstrates our commitment to all of our stakeholders - registrants, members of the public, our employees, our suppliers and the elected members of our Council. As the standard of customer service increases in other service sectors such as financial services, telecommunications, local government, retail and leisure so does the service quality expectations of their customers. Similarly, HPC's 'customers' will continue to have higher expectations of their own customer service experience which includes having a wider range of service delivery options, with customers wanting more choice of how they interact with us. We have increased their expectations by increasing the registration fees in 2009. Coupled with this increased expectation of service delivery is an increase in registrant number growth. Registrant numbers have increased at an average rate of 5% per year over the last five years and with the regulation of new professions such as practitioner psychologists the demand for these services has increased.

It is clear that we need to continue to develop our customer service delivery strategy that is based on the present and future needs and expectations of stakeholders. It is also important to maintain the positive, pride of workmanship, feeling of community, enjoyable and fun working environment that exists at HPC as customer satisfaction generally moves in the same direction as employee satisfaction.

The 2010 - 2011 registration work plan builds on our previous achievements. Employing the best people in a good working environment and supporting them with ongoing training, reliable equipment and up-to-date systems. Recognising individuals and teams by promoting from within wherever possible and encouraging everyone to enjoy rewarding careers and provide job satisfaction. The continued investment in technology to reflect business rules and processes will speed up processing, improve job satisfaction and offer our customers more service delivery channels.

It is important to remember that it is the continuation of a journey in registration.

The Registration Department

The Registration Department sits within the Operations Directorate of the HPC.

The Registration Department's main responsibilities are:

- processing application forms from individuals who have undertaken an approved course in the UK;
- processing applications for readmission to the Register;
- processing registrants registration renewal forms;
- processing international / EEA application forms;
- processing grandparenting application forms;
- processing incoming general correspondence including letters, requests for de-registration, change of addresses;
- co-ordinating continuing professional development (CPD) profile assessment days;

- replying to emails and
- answering incoming telephone calls with call types relating to the above mentioned processes.

This document

This document aims to set out the work priorities for the financial year April 2010 – March 2011, and provide a basis against which the work of the Registration Department can be planned and measured.

This work plan attempts to show how the standard operational work and the planned projects have been scheduled to ensure successful completion, given the resources and time restraints. The Registration Department is both proactive and reactive in its work so the requirements may change, particularly in light of business needs. **The department will therefore need to be flexible in the delivery of its work plan in order to respond accordingly. This document will be kept under review.**

Priorities 2010 – 2011

The main priority for the department is the day-to-day operation of the registration processes. For this year, this includes the preparation and expected transfer of the hearing aid dispensers onto our Register. The department will also be involved in a number of projects at both an operational level and a more strategic level.

Resources

This work plan is based on a budget of £1,628,624 which allows for a team of 37 registration employees which represents no increase in the year on year headcount. The registrant statistics included in the 'Finance and Resources Committee paper - Projected registrant numbers', dated 17 November 2009, have been utilised to determine the Registration Department resource requirements for 2010 - 2011.

The 37 Registration Department employees consist of: one Head of Registration, three Customer Service Managers, three Team Leaders and 30 Registration Advisors.

Recruiting and retaining employees, in order to work effectively and proactively, continues to be a big challenge for the department and is likely to remain a risk for this financial year.

The department structure consists of two service teams now primarily providing front line customer service for the UK, international, CPD and grandparenting processes and a support team primarily dealing with the renewals and application entry processes. There has been a significant amount of investment in cross training of registration advisors and this has enabled the department to respond rapidly and effectively to the significant increases in demand that is received.

Risk management

The Registration Department manages those organisation risks that are primarily concerned with:

- customer service failures;
- inability to detect fraudulent applications;
- backlog of registration applications;
- mistakes in the registration process leading to liability for compensation to the registrant or applicant;
- CPD processes not effective.

Activities outlined in this work plan also help mitigate organisation risks managed by other departments and Appendix six details all the risks that are mitigated by the Registration Department. As part of the HPC equality and diversity scheme the Registration Department will also continue to scrutinise and screen our processes and work to make sure that we identify and, where possible, mitigate any adverse impact to some groups, compared to others. Please see Appendices four, five and six for more details and links between the HPC's risk register and this work plan.

Registration Department main operational activities

There are 11 main processes which generate the majority of the department's workload and the volumes for each process vary throughout the year with significant peaks and troughs in demand for any individual process. Appendices two and three illustrate this change in demand for the UK application and renewals processes. The department continues to ensure it delivers the best possible service to registrants, applicants and the public by cross training all registration advisors to deliver all registration processes efficiently and effectively within our service standards. The 11 main operational processes are detailed further in Appendix one together with the current service standards which will be reviewed as part of this work plan.

Supporting activities

There are five activities which support the main Registration Department processes. Whilst these activities provide a solid and desirable foundation onto which to operate our main processes, at certain times of the year some of them do not take priority and some activities, may, if resources are stretched need to be revisited in their totality. The following paragraphs summarise these activities.

1) Partner assessor recruitment, selection and training

In 2010 – 2011, the department will work with the Partners Department to ensure registration assessor numbers are maintained and appropriate for the planned operational processes. This will include the selection, recruitment and training of new registration assessors to fill identified gaps.

A further significant piece of work this year will be to support the Partners Department with introducing a registration assessor performance appraisal system for 234 registration and CPD assessors.

2) Information systems (database and electronic records)

In 2010 – 2011, the department will work with the IT Department to both enhance and revise the NetRegulate registration system. The following changes to the NetRegulate registration system will be managed this financial year:

- **Photographs on registration cards** – Development to incorporate registrants' photographs on their registration card.
- **Supplementary prescribing on certificates** – Currently this information is not displayed on registration certificates. This project will ensure that this information is included on registration certificates.
- **Returned mail flag** – There is currently no returned mail flag on NetRegulate and whilst we receive returned mail we do not remove the registrants address and we continue to send out final renewal notices and invites to listening events. A returned mail flag will be introduced which would enable the Registration Department to record this information and enable us to stop sending out mailings to addresses that are not current.
- **Readmission of lapsed registrants selected for CPD** – Improve the NetRegulate system to ensure that when registrants that are selected for CPD audit apply for readmission onto the Register without fulfilling the CPD audit requirements NetRegulate places the registrant back into selected for CPD audit status to ensure the registrant complies with the CPD audit.
- **Batch process scheduler visible audit trail** - The batch process scheduler within NetRegulate controls the generating of renewal and final renewal notices, renewal certificates, lapsing, direct debit payments and payment charges. If we decide to amend run dates within the batch scheduler e.g. if we extend a professions renewal window there is no audit trail contained within the system to state when and who made the change. This change will ensure that NetRegulate contains a userlog of activities.

The Registration Department will also work with the IT Department to eliminate the need for Registration Advisors to manually calculate a new registrants registration fees when inputting applications and dealing with general telephone enquiries. A registration fee calculator will be developed using excel software that will accurately

calculate the registration fees depending on the position within the renewal cycle for each profession.

3) Liaison with stakeholders

In 2010 – 2011, the department will continue to work with stakeholders (e.g. general public, professional bodies, and registrants) in the broad area of registration. The department will endeavour to support the Communications Department with representation at conferences, listening events, employer events and various presentations which also provides valuable experience for registration employees and the department as a whole.

4) Committee and Council work

In 2010 – 2011, the department will continue to work with the Finance and Resources Committee, the Education and Training Committee and Council. We will ensure that they are kept up-to-date with operational performance and approval for appropriate changes to existing processes and the introduction of new processes is gained in a timely, robust and cost effective manner.

5) Publications

The department is responsible for producing a number of publications, including the registration certificate, and the UK, international, grandparenting application forms and guidance notes. These documents are updated and reviewed regularly.

The table in Appendix four details the Registration Department's core activities together with details of which item on the Risk Register they mitigate.

Achieving the Registration Department objectives 2010 – 2011

We have identified a number of objectives that will require action and completion in 2010 – 2011.

Registration Objective – Improve quality of service

Customer service is an important aspect of any organisation as it can support the health and growth of that business. The Registration Department will continue to build upon the foundations already in place and improve the service we deliver by ensuring that we:

- 1) conduct, deliver and review the quality checks programme providing registration advisors with individual feedback in regular 1 to 1 meetings and enabling the department to identify any recurring process failures;
- 2) conduct, deliver and review the call monitoring process to deliver individual feedback to registration advisors;
- 3) develop and publish revised Registration Department service standards;
- 4) continue to develop a customer research programme to:
 - gain an in-depth insight into the overall customer service experience from a registrant viewpoint;
 - gain qualitative feedback on call handling quality;
 - have a clear basis for making decisions about future service developments.

Registration Objective – Effective capacity planning

To ensure that we effectively plan the use of our resources we will:

- 1) continue to develop our capacity planning process to accurately forecast workload;
- 2) benchmark our planning process with similar size service centres.

Registration Objective – Improve application verification checks

It is incumbent upon us to ensure the integrity of our Register, including taking steps to prevent fraudulent or erroneous entry to the Register. We already have processes in place for checking qualifications. For example, applicants from the international route are required to provide certified copies of their identification documents and of their qualifications. There are processes in place for applications via the UK route to check that the applicant holds an approved qualification which confers eligibility to be HPC registered.

We aim to improve our verification process by:

- 1) reviewing the application process to identify improvements that will improve verification of qualifications, employment history and reduce the risk of exposure to identity theft;
- 2) designing a process with a third party background screening provider who will be able to assist us in performing checks to verify an applicant's identity, employment history and professional qualifications when we are unable to do so;
- 3) build a database to store examples of valid worldwide competent authority contact details and verification documentation.

Registration Objective – Employee development

Our employee development policy needs to aim to ensure that we place the right people in the right role and we invest in their recruitment, training and development by:

- 1) arranging for all registration employees to gain an accredited customer service qualification;
- 2) develop customer service training to improve skills to deal with more challenging situations;
- 3) developing and delivering the long term training plan;
- 4) continuing to review the registration advisor training manual and introduce a full learning management system which will enable the Registration Department to develop and deliver its training online;
- 5) continuing to cross train all registration advisors.

Registration Objective – Develop external relationships with suppliers

The Registration Department is reliant on a number of key suppliers in order to deliver and improve the service that it delivers. The department needs to continue to develop good working partnerships with these suppliers to ensure a seamless and improved service is delivered in a cost effective manner. The department needs to ensure:

- 1) Print UK print all registration renewal forms, registration application forms, publication material, letters and registrant certificates effectively and efficiently;
- 2) Maintel provide effective technical maintenance support for the Registration Department's telephony system and provide recommendations on how we can utilise our existing technology more effectively;
- 3) Statistical Services Centre, University of Reading develop and provide regular CPD data summary reports from the CPD audit process in order to assist with identifying potential CPD non – compliance areas;
- 4) Sevicepoint scan and copy all registration renewal and application forms effectively and efficiently.

Registration Objective - Manage projects within agreed timescales

The environment within which HPC operates is not static, but is instead changing as a result of many factors which include changes to legislation, to professions and to best practice. The following part of this document details the projects that will be resourced over the coming financial year towards meeting this aim:

- 1) **Hearing Aid Council (HAC)** - Project dealing with the transfer of the HAC's Register to the HPC.
- 2) **Linking Register to Electronic Staff Records (ESR) Project** – Develop a process to provide on a regular basis NHS electronic staff records (ESR) with an electronic subsection of the HPC Register.
- 3) **Registration fee change 2011** – Realignment of registration fee charges.

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- 4) **Registrant publication preferences** - Project to provide registrants with the option to request brochures in alternative formats such as braille, large text and Welsh. Provide HPC with the ability to store HPC publication, correspondence and renewal preferences within NetRegulate.
- 5) **Vetting and Barring Scheme Phases 1 and 2** – Project to design and implement processes to ensure the HPC complies with the Safeguarding of Vulnerable Groups Act.
- 6) **Registration / Education Department Liaison Project** - This project aims to review and enhance existing internal processes and practices. This project involves the Registration Department working with colleagues in the Education Department, although it is envisaged that the Education Department will take the lead in terms of resources. It is anticipated that the project will focus on two specific areas, which are of mutual concern and benefit to both departments, namely (i) the register of approved programmes (current and historical) and (ii) the pass list process (incorporating communication and liaison with education providers and internal usage).

There have been a number of changes to the register of approved programmes (current and historical) and UK application forms in recent years and the Education Department is keen to ensure that colleagues in the Registration Department are cognisant of the rationale and principles behind these changes and that the new ways of working are feasible and in keeping with their internal procedures.

There have been a number of changes to the pass list process in recent years and this part of the project aims to both resolve a few teething problems (mainly around communication and expectations on education providers) so that the process is easily understood and realistic in its expectations to both education providers and the Registrations Department. This part of the project will also consider further enhancements to the pass list process to ensure that the information supplied by education providers is accurate and explicit, to mitigate the risk of incorrect decision-making at the point of registration.

Overall, the project aims to improve the understanding between the two departments of their respective roles and responsibilities, to increase the effectiveness of available resources within both departments engaged in these two areas; to consider the strengths and limitations of the current processes and information systems and to consider the effectiveness of initial and refresher training of employees.

- 7) **Outcome to Modernising Scientific Careers** – Project dealing with the potential regulation of Healthcare scientists.
- 8) **Psychotherapists and Counsellors** – Project dealing with the potential regulation of Psychotherapists and Counsellors.
- 9) **Dance Therapists** – Project dealing with the potential regulation of Dance Therapists.

- 10) **Credit Card Handling Outsourcing** – Project to ensure HPC is compliant with the Payment Card Industry Data Security Standard (PCI DSS) when taking credit card details over the telephone when a registrant wishes to make a payment to renew or register for the first time. This project will investigate the possibilities of arranging collection of payments by a third party provider which is compliant with PCI DSS to allow such transactions.
- 11) **Partner Systems Review** – This project will review all partner data sources across departments (Partners, Education, Fitness to Practice, Registration and Finance). Stage one of this project will involve reviewing existing systems and departmental requirements and identification and design of a new database to encompass all department requirements. Stage two off the project may result in the building of the new database in the financial year 2011 – 2012.

The table in Appendix five sets out the Registration Department’s day to day activities in the delivery of the registration objectives.

Priorities 2011 – 2012

2011 – 2012 will be a year in which we continue to undertake our established activities and improve our processes and service delivery. Taking on new professions that are anticipated up to 2013 such as dance movement therapists, counsellors and psychotherapists and healthcare scientists will have a significant impact on the workload of the Registration Department.

Depending upon the success of the online renewals implementation, project work will begin in designing an online applications process providing new applicants with the ability to apply for registration with the HPC via the web.

Registration Department activities in 2009 - 2010

It would be useful to review the activities contained in the work plan which was submitted one year ago as part of the background which has formed the basis of this new work plan. Five objectives were set and the progress of each is detailed below:

Registration Objective – Manage business as usual activities within agreed service standards

This objective was met. Service standards were met or exceeded throughout the year.

Registration Objective – Improve quality of service

This objective was met. A quality checks programme was in operation with call monitoring, application entry and renewal processing checks undertaken and feedback given to registration advisors. A business partner has been identified and work has begun in obtaining feedback from Registrant's to gain an in depth insight into the overall service experience from a registrant viewpoint.

Registration Objective – Effective capacity planning

This objective was met. Specialist contact centre planning training has enabled the development of the capacity planning process which has enabled the Registration Department to deliver improved performance over the past 12 months.

Registration Objective – External recognition

This objective was met. An application for the Queen's Award for Enterprise and Innovation was submitted but no feedback has been received at the time of publication of this work plan. National Customer Service Week celebrations were led by the Registration Department across the whole organisation.

Registration Objective – Employee development

This objective was partially met. There a number of Customer Services Managers and Team Leaders who still need to attend a professional contact centre management course and it is planned that all new senior members of the team will attend a course within the next 12 months. A number of new registration employees have not had the opportunity to gain an accredited customer service qualification but will be given this opportunity over the forthcoming 12 months. There is a long term training plan in place to ensure that we continue to cross train all registration employees. There is a detailed training manual in operation which is constantly reviewed and updated.

Registration Objective – Manage projects within agreed timescales

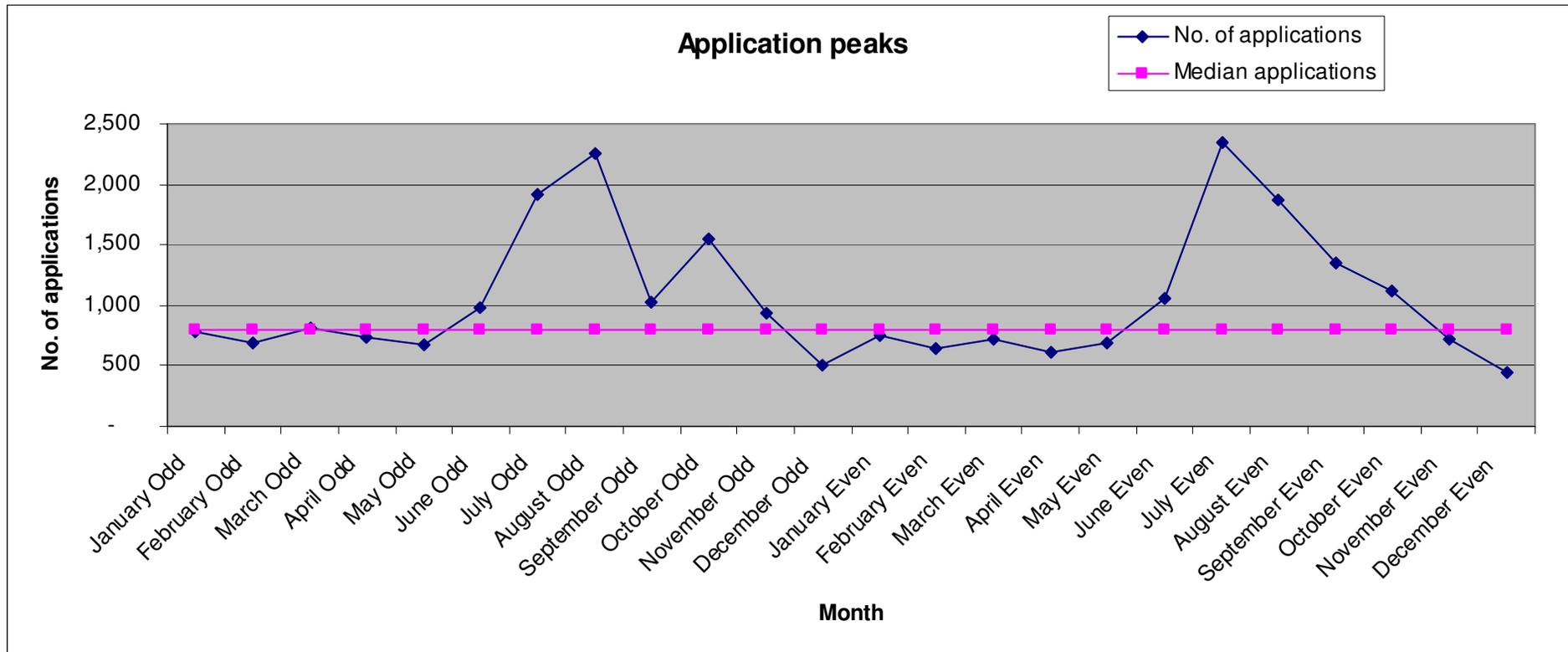
The progress the department made against each of the planned projects in 2009 – 2010 is detailed below:

- 1) **Practitioner psychologists** – The statutory regulation of practitioner psychologists was delivered.
- 2) **Hearing Aid Council** – The department has completed all assigned objectives in the project plan on time with the regulation of hearing aid dispensers by HPC due to commence from the 1 April 2010.
- 3) **Online renewals** – The department has completed all assigned objectives in the project plan on time with the system made available to registrants as from February 2010.
- 4) **Improve identity checks** – The UK, international and grandparenting forms have been amended to allow the HPC to carry out identity checks and the department currently undertakes checks of international applicants to confirm their identity and qualifications. The department is currently designing a process with a third party background screening provider who will be able to assist us in performing checks to verify an applicant's identity and professional qualifications when we are unable to do so.
- 5) **Registration fee change 2009 and 2011** – The department completed all assigned objectives in the project plan on time.
- 6) **Independent Safeguarding Authority** – The department completed all assigned objectives in the project plan on time.
- 7) **Renewal cycle review** - This project was split into two distinct pieces of work with phase one of the renewals cycle review project involving an operational review of the current renewal cycle dates to assess whether there would be a benefit to the business if these dates were changed to remove the peaks and troughs in the renewal cycle. This initial investigation work involved deciding on the most appropriate renewal cycle for the organisation and then assessing the business benefits. Detailed discussions were also held with our NetRegulate software supplier Digital Steps to assess if the desired approach could be implemented together with an assessment of the risks and costs that this would involve. The project team shortlisted four possible options and the Executive Management Team (EMT) were asked to consider whether to proceed with phase 2 of this project and implement one of these options in the financial year 2010. It was decided not to proceed to phase 2 on the basis that a definitive decision could not be made until the impact of online renewals could be evaluated.

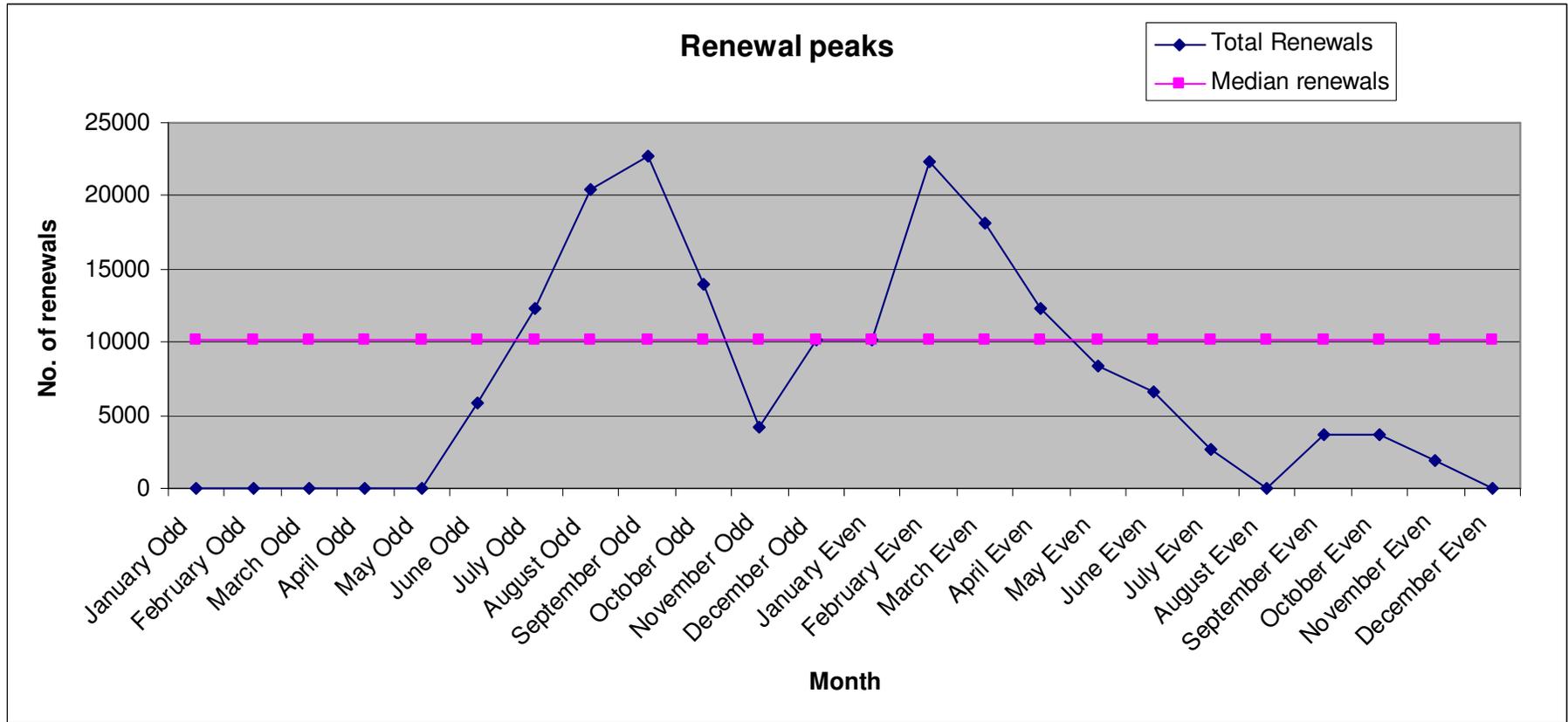
Appendix one – Registration Department processes and service standards

Process	Service Standards 2010 – 2011
UK applications	Ten working days processing
Readmissions	Ten working days processing
International / EEA applications	Processed within three months of receipt of all documents
Grandparenting applications	Processed within three months of receipt of all documents
Continuing Professional Development (CPD) audits for the following professions in 2010 / 2011: <ul style="list-style-type: none"> • physiotherapists; • arts therapists; • dietitians; • chiropodists; • operating department practitioners. 	Processed within three months of receipt of all documents
Renewal batch letters sent on time for the following professions in 2010 / 2011: <ul style="list-style-type: none"> • physiotherapists; • arts therapists; • dietitians; • chiropodists; • operating department practitioners. 	Renewal notice sent not less than three months before publicly published renewal dates Final renewal notice sent not less than one month before publicly published renewal dates
Renewal cycle batch processing	Complete renewal (lapsing) process run within five days of publicly published dates
Written complaints	18 days response
Emails	Five days response
Telephone call answering	80% of calls answered within 30 seconds
Process equality and diversity data for new applicants to the Register	Ten working days processing

Appendix two – UK application volumes



Appendix three – Renewal volumes



Appendix four Registration Department activities table 2010 – 2011

The table below sets out the Registration Department's core activities.

Activity	Mitigate risk register item	Start date	Completion date	Lead
Manage the Registration Department's main operational processes within service standards	2.3, 1.5, 10.1, 10.4	1 April 2010	Ongoing	RH, CH, NC, DW
Partner assessor recruitment, selection and training	6.1	1 April 2010	Ongoing	DW
Information systems enhancements and revisions	10.1	1 April 2010	Ongoing	RH, CH, NC, DW
Liaison with stakeholders	3.2	1 April 2010	Ongoing	RH, CH, NC, DW
Committee and Council work	4.1	1 April 2010	Ongoing	RH
Improve Registration Department publications	10.5	1 April 2010	Ongoing	CH, NC

Key

RH - Richard Houghton

CH - Claire Harkin

NC – Neil Cohen

DW – David Waddle

Appendix five Registration Department objectives table 2010 – 2011

The table below sets out the Registration Department's objectives.

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Improve quality of service	1) Conduct, deliver and review the quality checks programme providing registration advisors with individual feedback in regular 1 to 1 meetings and enabling the department to identify any recurring process failures.	10.5	1 April 2010	Ongoing	CH, NC, DW
	2) Conduct, deliver and review the call monitoring process to deliver individual feedback to registration advisors.	10.5	1 April 2010	Ongoing	CH, NC, DW
	3) Develop and publish revised Registration Department service standards.	10.1	1 June 2010	30 September 2010	RH
	4) Continue to develop a customer research programme to; <ul style="list-style-type: none"> • gain an in-depth insight into the overall customer service experience from a registrant viewpoint; • gain qualitative feedback on call handling quality; • have a clear basis for making decisions about future service developments. 	10.1	1 April 2010	Ongoing	RH

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Effective capacity planning	1) Continue to develop our capacity planning process to accurately forecast workload.	10.1, 10.4	1 April 2010	Ongoing	NC
	2) Benchmark our planning process with similar size service centres.	10.1	1 September 2010	Ongoing	RH
Improve application verification checks	1) Review the application process to identify improvements that will improve the verification of qualifications, employment history and reduce the risk of exposure to identity theft.	10.3	1 April 2010	30 September 2010	RH
	2) Design a process with a third party background screening provider who will be able to assist us in performing checks to verify an applicant's identity, employment history and professional qualifications when we are unable to do so.	10.3	1 April 2010	30 September 2010	RH
	3) Build a database to store examples of valid worldwide competent authority contact details and verification documentation.	10.3	1 April 2010	Ongoing	DW

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Employee development	1) Arranging for all registration employees to gain a customer service qualification.	11.4	1 April 2010	Ongoing	RH
	2) Develop customer service training to improve skills to deal with more challenging situations.	11.4	1 April 2010	Ongoing	RH
	3) Developing and delivering the long term training plan.	11.4	1 April 2010	Ongoing	CH,NC, DW
	4) Continuing to review the registration advisor training manual and introduce a full learning management system which will enable the Registration Department to develop and deliver its training online.	11.4	1 April 2010	Ongoing	CH, NC, DW
	5) Continuing to cross train all registration employees.	11.4	1 April 2010	Ongoing	CH,NC, DW
Develop external relationships with suppliers	1) Print UK print all registration renewal forms, registration application forms publication material, letters and registrant certificates effectively.	10.1	1 April 2010	Ongoing	CH
	2) Maintel provide effective technical maintenance support for the Registration Department's telephony system and provide recommendations on how we can utilise our existing technology more effectively.	2.10	1 April 2010	Ongoing	RH
	3) Statistical Services Centre, University of Reading develop and provide	18.1	1 April 2010	Ongoing	RH

Objective	Activity	Mitigate risk register item	Start date	Completion date	Lead
Develop external relationships with suppliers	regular CPD data summary reports from the CPD audit process in order to assist with identifying potential CPD non – compliance areas. 4) Servicepoint scan and copy all registration renewal and application forms effectively and efficiently.	10.1	1 April 2010	Ongoing	NC
Manage projects within agreed timescales	1) Hearing Aid Council. 2) Linking Register to Electronic Staff Records Project. 3) Registration fee change 2011. 4) Registrant publications preferences. 5) Vetting and Barring Scheme Phases 1 and 2. 6) Registration / Education Department Liaison Project. 7) Outcome to Modernising Scientific Careers. 8) Psychotherapists and Counsellors. 9) Dance Therapists. 10) Credit Card Handling Outsourcing. 11) Partner Systems Review.	8.10 3.2 8.1 1.6 8.8 10.1 8.2 8.11 8.2 15.7 6.5	1 April 2010 1 September 2010 1 April 2010 1 August 2010 1 April 2010 1 July 2010 1 March 2011 1 March 2011 1 March 2011 1 July 2010 1 August 2010	30 April 2010 28 February 2011 1 March 2011 28 February 2011 28 February 2011 Ongoing Ongoing Ongoing Ongoing 31 December 2010 31 March 2011	NC,RH RH CH RH NC NC,RH DW CH,DW NC DW,RH DW

Key

RH - Richard Houghton
DW – David Waddle

NC – Neil Cohen
CH - Claire Harkin

Appendix six Risk Register risk items mitigated by the Registration Department

Risk Register item reference	Description
1.5	Loss of reputation
1.6	Failure to abide by current equality and diversity legislation
2.3	Unacceptable service standards
2.10	Telephone system failure causing protracted service outage
3.2	Loss of support from key stake holders
4.1	Council inability to make decisions
6.1	Inability to recruit and / or retain suitable partners
6.5	Incorrect interpretation of HPO in use of partners
8.1	Fee change processes not operational by April 2011
8.2	Failure to regulate a new profession or a post-registration qualification as stipulated by legislation
8.8	Failure to deliver the requirements of the Vetting and Barring Scheme
8.10	Failure to successfully open the Hearing Aid Practitioner register
8.11	Failure to successfully open the Counsellors and Psychotherapist register
10.1	Customer service failures
10.2	Protracted service outage following a NetRegulate registration system failure
10.3	Inability to detect fraudulent applications
10.4	Backlog of registration applications
10.5	Mistake in the registration process leading to liability for compensation to registrant or applicant
11.4	Lack of technical and managerial skills to deliver the strategy
15.7	Registrant credit card fraud / theft
18.1	CPD processes not effective