

Activities from Brainstorming -- Texas Board of Professional Geoscientists

1	Receive applications	13	Test development outside of board	25	Performance Reviews	37	Compliance Investigation	49	Reconciliation	61	Cross train
2	Background checks	14	Criminal B/G Checks	26	Knowledge of state and federal laws	38	Licensee Assistance	50	Separation of duties	62	Procurement Plan
3	Adhere to policy and procedures	15	Outside training	27	Cross training	39	Sep. of Duties	51	Travel	63	Separation of duties
4	Cross training	16	Review of Transcripts	28	Agency Reports	40	Adhere to Policies & Procedures	52	Leave Accounting	64	Multiple signatures
5	Separation of duties	17	Continuing Education Audits	29	Rule Updates	41	Outreach	53	Payable and Deposits	65	Update software
6	Picture ID verification	18	Firm Registration	30	Website Maintenance	42	Current P & P	54	Purchase order log	66	Maintainance of firewall
7	Unique License number from Database	19	Imaging files	31	Proper Training	43	Oversight Agencies(Audits)	55	Purchasing training	67	Maintenance agreements
8	Nightly backups	20	Current P & P	32	Risk Based Inspections	44	Budget Monitoring	56	Purchasing policies & Manuals/Websites	68	UPS
9	Outside IT Support	21	Written job descriptions	33	Regular Staff Meetings	45	Completion of Perf. Measures	57	HUB Policy	69	IT Inventory Control/ Train IT Personnel
10	Reference checks	22	Legislative liaisons	34	Defensive Driving	46	Proper Training	58	Oversight Agencies	70	Daily Back-up
11	Two Techs Administer Exams	23	Training/conferences	35	Standards of Conduct	47	User Group Meetings	59	Purchasing Review	71	Off-site Storage
12	Update of Agency Hardware and Software	24	Screening/review of applicants	36	Complaint Resolution	48	Oversight Analysts	60	Assign Specific Purchasing Duties	72	Test backup

TEXAS BOARD OF PROFESSIONAL GEOSCIENTISTS

CONSOLIDATED ACTIVITIES		PRIORITIZED CONSOLIDATED ACTIVITIES
Licensing (1-19)		1 Licensing (1-19)
HR & Administration (20-30)		2 Compliance (31-41)
Compliance (31-41)		3 Information Technology (65-72)
Finance & Accounting (42-53)		4 Finance & Accounting (42-53)
Purchasing (54-64)		5 HR & Administration (20-30)
Information Technology (65-72)		6 Purchasing (54-64)

RISK MANAGEMENT TABLE -- TEXAS BOARD OF PROFESSIONAL GEOSCIENTISTS

Compliance Consolidated Activity: RISKS CONTROL STEPS	Ethics Violations	Threat of Lawsuits	Performance Measures not met	Inadequate Policies & Procedures	Travel Accidents	Employee Turnover	Loss of Public Trust/Bad PR	Lack of Training	Dispute Resolution
Proper Training	x	x	x			x	x	x	x
Separation of Duties	x	x	x			x		x	
Adherence to Policies and Procedures	x	x	x	x	x	x	x		x
Risk Based Inspections	x	x	x				x		x
Regular Meetings with Staff		x	x	x		x		x	
Defensive Driving					x				
Standards of Conduct	x	x		x	x	x	x	x	x

RISK MANAGEMENT TABLE -- TEXAS BOARD OF PROFESSIONAL GEOSCIENTISTS

Licensing and Examination											
Consolidated Activity:											
RISKS	Database Downtime	Falsification of Application	Fraudulent/Altered Licenses	Performance Measures not met	Inadequate Policies & Procedures	Lack of Training	Employee Turnover	Exam Integrity	Failure to Meet Deadlines	Poor Customer Service	Lost Documents
CONTROL STEPS											
Adhere to Policies & Procedures		x	x	x	x		x	x	x	x	x
Cross Training				x	x	x	x	x	x	x	x
Sep. of Duties		x		x	x		x	x	x		x
Pictures ID verification		x						x			
Unique License # from Database		x	x								
Regular Backups	x										
Outside IT support	x										
Database Support	x			x							
Reference Checks		x									
Two Techs Administer Exams								x			
Updating of Agency Hardware/SW	x										
Test Development Outside of Board								x			
Criminal Background Checks		x			x						
Outside Training	x			x		x	x		x	x	
Check Transcripts		x									
Proper Compensation							x				
Performance Reviews						x	x		x	x	x
Written Job Descriptions							x			x	
Screening of Applicants		x								x	
Regular staff meetings				x			x		x		x
Quality assurance monitoring		x	x		x			x	x	x	x

RISK MANAGEMENT TABLE -- TEXAS BOARD OF PROFESSIONAL GEOSCIENTISTS

Information Technology								
Consolidated Activity: RISKS CONTROL STEPS	Hardware Failure	System Security- Virus Exposure	Unavailability of Reports	System Security- Theft	Backup Failure or Lack of	Inaccurate or Incompatible Data	Power Failure	Unlicensed Software
Regular Back-ups	x	x	x	x	x	x	x	
Off-Site Storage	x			x	x	x	x	
Test Backup					x	x	x	
Update Software		x	x	x	x	x		x
Maintain Firewall		x		x		x		
Maintenance Agreements	x	x	x	x	x	x	x	x
UPS					x		x	
IT Inventory Control	x			x				x
Train/monitor IT Personnel		x	x		x	x		x

RISK MANAGEMENT TABLE -- TEXAS BOARD OF PROFESSIONAL GEOSCIENTISTS

HR & Administration									
Consolidated Activity:									
RISKS									
CONTROL STEPS									
	Absenteeism	Board Interaction	Lawsuits	Low Morale	Legislative Scrutiny	High Turnover	Inadequate P & P	Lack of Training	Customer Service
Knowledge of State & Fed Laws		x	x		x		x		
Cross Training	x	x		x		x		x	x
Performance reviews	x		x	x		x		x	x
Current P & P	x	x	x		x	x	x	x	x
Written Job Descriptions	x	x	x			x			x
Leg. Liaisons					x				
Training/Conferences	x		x	x	x	x	x	x	x
Screening/Review of Applicants	x		x	x	x	x			x

RISK ASSESSMENT TABLE - Post-Controls - Texas Board of Professional Geoscientists																																							
PRIORITY	CONSOLIDATED ACTIVITY	IMPACT RATING		RISKS	PROBABILITY RATING		IMPACT RATING		RISKS	PROBABILITY RATING		IMPACT RATING		RISKS	PROBABILITY RATING		IMPACT RATING		RISKS	PROBABILITY RATING		IMPACT RATING		RISKS	PROBABILITY RATING		IMPACT RATING		RISKS	PROBABILITY RATING		IMPACT RATING		RISKS	PROBABILITY RATING		IMPACT RATING		RISKS
		M	L		H	L	1	H		L	2	H	L		3	H	L	4		H	L	5	H		L	6	H	L		7	H	L	8		H	L	9	H	
1	Compliance	M	L	Performance Measures not met	H	L	Ethics Violations	H	L	Adherence to Policies & Procedures	H	L	Loss of Public Trust/Bad PR	H	M	Employee Turnover	M	L	Lack of Staff Training	M	L	Travel Accidents	M	L	Lawsuits	M	L	Dispute Resolution			N/A			N/A					
2	Licensing	H	L	Policies & Procedures not followed	H	L	Customer Service	H	L	Database Downtime	H	L	Lack of Training	H	L	Lost Documents	H	L	Falsification of Application	H	L	Fraudulent/ Altered Licenses	H	L	Performance Measures	H	L	Exam Integrity	H	L	Employee Turnover	M	L	Failure to Meet Deadlines					
3	Information Technology	H	L	Hardware Failure	H	L	System Security- Virus Exposure	H	L	Unavailability of Reports	H	L	System Security- Theft	H	L	Unlicensed Software	M	L	Backup Failure	M	L	Inaccurate or Incompatible data	M	L	Power Failure			N/A			N/A			N/A					
4	Finance & Accounting	H	H	Appropriation Reduction	H	L	Fraud/ Theft	H	L	Inaccurate Payroll Processing	H	L	Loss of Cash Receipts	H	L	Overspending Appropriation	H	L	Inaccurate Reporting	M	L	IRS Criminal Penalties	M	L	Non-compliance w/ Acctg. Policies	M	L	Loss of Assets			N/A			N/A					
5	HR & Administration	H	H	Legislative Scrutiny	H	L	Absenteeism	H	L	Lawsuits	M	M	Inadequate Agency P & P	M	L	Customer Service	M	L	Lack of Training	H	M	Commissioner Interference	H	M	Low Morale	H	L	High Turnover			N/A			N/A					
6	Purchasing	H	L	Fraudulent Purchasing	H	L	Loss of Delegated Authority	H	L	No authorization	M	L	No paperwork showing delivery	M	L	No timely Delivery of Goods	M	L	Non-approved Vendors	M	L	Not enough HUB purchases	L	L	Incorrect Coding	L	L	Ordering Inappropriate Items			N/A			N/A					

Small Agency Risk Assessment - Fiscal Year 2017	
Significant Changes in Risk Assessment - TBPG	
NEW Activities, Risks, and/or Controls from Prior Year Submission List by Consolidated Activity	
CHANGES or DELETIONS in Activities, Risks, and/or Controls from Prior Year Submission List by Consolidated Activity	Compliance: High Turnover Impact changed to High
	Licensing: High Turnover Impact changed to High
	HR & Administration: High Turnover Impact changed to High

