

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 Compliance (31-41)
HR & Administration (20-30)		2 Licensing (1-19)
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								
Nightly 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
Daily Back-up	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

Page	Changes to 2013 Risk Assessment
Activities	No changes
Consolidated activities	No changes
Pre-Risk assessment table	No changes
Post-Risk assessment table	No changes
Compliance	No changes
Licensing	No changes
IT	No changes
Finance and Accounting	No changes
HR	No changes
Purchasing	No changes