

Northern Ireland

Social

Care

Council

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**Unconfirmed Minutes
Risk Management Committee
Monday 26th September 2022 at 10:00am
Via Zoom**

In Attendance

Declan McAllister (Chair)
Ruth Hutchison
Helen McVicker
Rita Lewtas
Catherine Maguire
Gareth Elder
Sandra Stranaghan
Andre McKeown
Hollie Bishop, Secretariat

Apologies

Marian O'Rourke
Caroline Cumberland

Item	Agenda	Action
Formalities		
1.	Welcome and Apologies	
1.1	The Chair welcomed members and noted apologies from members list above.	
2.	Previous Minutes – 6th June 2022	
2.1	The previous minutes from the meeting on 6 th June 2022 were agreed as a true and accurate record.	
3.	Actions Arising	
3.1	Sandra Stranaghan advised members that whilst work had begun on the review of KPI's for both FTP and Registration, nothing has been actioned at present due to annual leave. SS will continue to work on the implementation of risk tolerance with Helen McVicker and Ruth Hutchison. Members agreed that there would be no	

	<p>benefit in restructuring the KPI process for FTP as it aligns with the industry standard, however it would be useful to introduce a tolerance level for reflect active monitoring to the Board.</p> <p>ACTION: SS to review numerical data in relation to risk tolerance for presentation to the Board on 12th October.</p>	SS
4.	COVID-19 Update – COR16 including Covid Inquiry	
4.1	<p>DMcA provided an update on the Covid-19 risk review and members discussed with the following key points;</p> <p><u>COR16, COVID-19 Virus</u></p> <ul style="list-style-type: none"> • There has been an increase in the number of Covid-19 cases amongst staff in recent weeks, however members agreed that impact to the delivery of business remains minimal with the majority of staff able to continue working from home. • The Command and Business Leadership Team (CBLT) has been amended to the Business Review Meeting as it is no longer required to provide increased communication in light of Covid distancing. <p>ACTION: SS to circulate updated guidance for staff regarding testing positive for Covid-19 and returning to work.</p>	SS
4.2	<p>It was agreed, after review, that COR16 will remain at an overall score of 25 with the likelihood and impact unchanged at this time. Members agreed to review this risk again in January 2023 for further revaluation and probably decrease in risk.</p>	
5.	Review of Risk Register	
5.1	<p>DMcA advised that the following Controls currently sitting with an elevated status that require review are;</p> <ul style="list-style-type: none"> • COR04 – sitting at a ‘Red’ status regarding the robust internal procedures in place to check the content of each register application submitted. Ruth Hutchison advised this will be reviewed by the end of the day and should be reduced to green. • COR09 – The NI Audit Office have not yet returned certification of the Annual Accounts so this will remain at amber until a response is received from NIAO. • COR09 - The Report to those Charged with Governance as well as the Accounts laid in the Assembly are also sitting as an amber risk. Both of these risks will remain at their current evaluation for the time being until further updates are received. 	

5.2	<p>DMcA requested that members review the following Actions sitting with a 'Red' status;</p> <ul style="list-style-type: none"> • COR21 – RH to rewrite internal documents regarding Registration Work instructions to support the new IQSW form. • COR21 – Paul Rooney to agree a process for maintaining CPD and AYE for dual registrants. • REG08 – Michael Robb to review XML codes in line with End Dates for compliances. 	
5.3	<p>DMcA provided an overview of the Risk Register, with the following key highlights;</p> <p><u>COR11, BSO Shared Services</u></p> <ul style="list-style-type: none"> • Currently sitting at a 12 overall • Issues with recruitment remain ongoing with continued delays and miscommunications for a wide number of recruitment exercises. • Estates, HR, PALs and other areas of BSO are working efficiently, with little to no issues. Instead it was agreed that the main risk lies with recruitment overall rather than with BSO Shared Services. • Members agreed to separate Shared Services from Recruitment to two individual risks. <p>ACTION: SS to set-up a Recruitment risk and review the COR11 risk in light of this separation.</p>	SS
5.4	<p><u>COR01, Management of Financial Resources</u></p> <ul style="list-style-type: none"> • Management of financial resources will remain high on the register. • £180k has been put through for James House for recurrent revenue, which has been approved of 23rd September, however an allocation letter has not yet been received. • The capital for all technology and additional furnishings for James House requires a business case proposal for approval. • All new expenditure must be approved through DMcA. • It was agreed the risk will remain at the current assessment 	
5.5	<p><u>STN02, Maintaining Registration</u></p> <ul style="list-style-type: none"> • Currently sitting at an amber • Recruitment exercise for Band 3 Registration Advisors has been successful; one agency staff has been successfully appointed with two external appointments as well. Both of the external candidates are expected to be in post by end of October. 	

	<ul style="list-style-type: none"> • It was agreed that the two temporary agency Registration Advisor positions will remain in post for an additional 4 weeks to accommodate an overlap with new recruits. • Increased level of staff sickness and annual leave has led to disrupted delivery of business. • Routine to be established by the Database team to remove partially completed application forms on a regular basis (weekly or bi-weekly) • The impact and likelihood will remain at the current level. 	
5.6	<p><u>COR22, Office Accommodation Move to James House</u></p> <ul style="list-style-type: none"> • A new action has been added to reflect the need to secure funding for the ICT infrastructure and hardware. • Progress has been made with the ongoing licence agreements. • Issues identified at a recent visit to James House are now being resolved; additional soundproofing added to the hearing room for increased privacy. • Teams will be encouraged to continue with the preparation of records through archiving and digitisation. • Surplus furniture will be offered out to staff at the end of October in preparation for the move. • It was agreed that the current risk assessment will remain as is. 	
5.7	<p><u>COR19, Governance Structure and Systems</u></p> <ul style="list-style-type: none"> • David Nicholl is finalising the report on the Board Skills Audit to assess requirements of the Board for future governance of the SCC. This will include a review of the number of Board members required. • This paper will be reported to the Board on 12th October. • 4 Board members have now had 3-month extensions; Lee Wilson, Brenda Maitland, Anne O'Reilly and Catherine McPhillips. • It was agreed the risk would remain at the current assessment until the Skills Audit is completed and recruitment begins for Board members. 	
5.8	<p><u>COM03, Resourcing of Communication Function</u></p> <ul style="list-style-type: none"> • There is a great skill mix across the Communications team, however RL is working to identify any skills gaps that might pose a risk to delivery of business. • It was agreed, after review, that the risk would remain at the present evaluation. 	

5.9	<p><u>WFD06, Resourcing of the Workforce Development Team</u></p> <ul style="list-style-type: none"> • Resourcing continues to pose a risk with prolonged reliance on transformation funding from DoH and temporary contracts to deliver business. • It was agreed that perhaps a piece of work could be developed to assess the structure of the WFD team moving forward to reflect the growth of team numbers over the last 4 years. • Working with BSO to transition Tricia Devlin onto a permanent basis, there have been delays but an official start date has now been secured for November. • It was agreed, after review, that the WFD06 risk would remain at the current assessment. 	
5.10	<p><u>REG01, Regulatory Fitness to Practise function resources</u></p> <ul style="list-style-type: none"> • Resourcing is not a major risk at this point; there is a full post business case compliment in place with 8 officers. • The only vacancy within the team at present is with regard to the backfill for Jillian Major and Richard McNeill's post. • It was agreed, after review, that the risk could be reduced in light of recent recruitment. Likelihood will be reduced to unlikely and HMcV will review the Impact to see if this can also be reduced. 	
5.11	<p><u>WFD03, Credit Accumulation & WFD04, IAR Functionality</u></p> <ul style="list-style-type: none"> • IAR will be completed on 3rd October and should run smoothly. • A workshop was held on 21st October where it was agreed that work would continue to develop a simplified system, this will be the focused piece of work between now and January 2023 to complete testing ahead of the next phase of tests and integration. 	
5.12	<p><u>COR04, Data Quality of the Register</u></p> <ul style="list-style-type: none"> • A number of controls are to be added in relation to accidental removals from the register in light of the mass removal that happened in mid-September. • A check will be included for any registrants with duplicate memberships to prevent further removals. • It was agreed, in light of the incident with duplicated removals, the likelihood would be escalated to possible while the impact will remain as is, bringing the overall risk to a 6. 	

6.0	Fire Evacuation Report	
6.1	DMcA advised members that a fire evacuation report had been returned to SCC following a practice evacuation of Millennium House in August. It was reported that SCC staff were compliant with evacuation procedure.	
7.0	Outstanding Audit Actions	
7.1	<p>DMcA advised that there had been a number of queries regarding the age of some recommendations that have remained on the register. The following actions were reviewed and agreed as completed;</p> <ul style="list-style-type: none"> • COR03, the SOCRATES solution should be regularly penetration tested – Penetration testing has been conducted and the new system is now being upgraded which will then be penetration tested again. Evidence of this testing should be gathered and reflected as completed. • COR03, Management should liase with BSO ITS to ensure that legacy SOCRATES infrastructure is securely decommissioned – decommissioning has been notified to ITS and an Office 365 action plan has been agreed. • Managers to put measures in place improve performance against KPI's – all FTP officers have now been appointed and KPI's are now reviewed on a monthly basis. • Formal process to be developed to triangulate intelligence across Social Care Council – an updated job description for Andre McKeown has now been drafted and approved which outlines that all data information requests should be triangulated centrally through Andre. • Data Cleansing exercise should be completed – data cleansing has been completed in relation to the items that support the new dashboard in place. • Workforce Development and the DoH Learning Strategy – sufficient evidence has been presented by Marian O'Rourke to prove this has been completed. • Review of the Registration Committee – this committee has now been stood down. • Complaints Training - the register has been updated with new training and this is now presented to new staff. • Contracts (check with SS) – Joanne Akkaya has developed a contract register to record spend in real time. • Training for team and work instructions – Training has been developed with Debra Patterson at the Learning Centre for the team. • Updating of the committee decisions – this was picked up incorrectly by the audit as Julie Dines and Laura Kinghan are able to update those so no training is required. 	

8.	Any Other Business	
8.1	No other business	
9.	Date of Next Meeting	
9.1	<ul style="list-style-type: none"> 2pm on Tuesday 15th November 2022 	

<i>Action List from 26th September 2022</i>				
Item	Action	Owner	Due Date	Status
3.1	SS to review numerical data in relation to risk tolerance for presentation to the Board on 12 th October.	SS	12 th October	Open
4.1	SS to circulate updated guidance for staff regarding testing positive for Covid-19 and returning to work	SS	15 th November	Open
5.3	SS to set-up a Recruitment risk and review the COR11 risk in light of this separation.	SS	3 rd October	Open

<i>Action List from 6th June 2022</i>				
Item	Action	Owner	Due Date	Status
5.1	WFD02 to be reviewed and actions updated	MOR & CM	13 th September	Open To be reviewed at a later date

<i>Action List from 28th April 2022</i>				
Item	Action	Owner	Due Date	Status
2.2	Transitional Plan to be added to the agenda for the Board Meeting on 29 th June	HB	8 th June	Closed
5.3	Agile Working Control to be added to COR22 on Risk Register	SS	8 th June	Closed
5.5	SS and CC to discuss provision of administrative support for Committee Team	SS	8 th June	Closed

