

Strategic Theme 1 - Putting Standards at the Heart of Social Work and Social Care Practice and education and training

Outcomes

- The standards of conduct and practice are relevant, trusted, understood and embedded;
- The Social Care Council's standards for Employers support the delivery of effective social work and social care services.

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: STN02]</p> <p>Maintaining Registration</p> <p>If the registrant does not understand their obligations of maintaining their annual registration and renewal process, then they may be unable to work, care could be compromised and employers may be liable for enforcement measures</p> <p>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. People working in the social work and social care sectors without the legal right to do so. 2. Lack of public confidence and reputation of the Social Care Council as a regulator. 3. Negative impact on workforce planning arising from staff being removed from the register. 4. Employers coming under enforcement action by RQIA for employing unregistered workers 5. A register that is not fit for purpose to support regulation policy 	<p>Corporate Oversight</p> <p>Monthly business performance reports and monitoring registration dashboards in place along with daily intelligence on resource capacity, workload and throughput</p> <p>Monthly Review of Progress on Maintaining Registration by the Social Care Council Board</p> <p>Operational Control</p> <p>Engagement with registrants and employers.</p> <p>Social media programme to promote the value and importance of maintaining registration.</p> <p>Daily engagement with the registration team leaders and adviser team on activity, pressures and resources</p> <p>Return to normal registration business action plan in place</p> <p>Employer Portal deployed</p>	Ruth Hutchison	<p>Internal Audit</p> <p>IA audit of Registration.</p>	<p>This risk has increased (likelihood to almost certain) on the back of the changes to the register and the difficulties in getting all registrants to respond in good time to their reminders, however re-registrations are occurring daily. Independent assurance on the registration process being sought to ensure sustainability of the registration function for the future</p>	<p>Introduction of Digital Identity</p> <p>Move to an annual renewal process to provide improved consistency and clarity for registrants on the annual registration process</p> <p>Additional supportive guides to be written and developed for registrants covering the areas of 1. How to update your employment 2. How to use the employer portal 3. How to enter qualifications and experience 4 Endorser Guidance to be updated</p>	<p>1st Feb 2023</p> <p>30th Sep 2022</p> <p>30th Nov 2022</p>	<p>Inherent</p> <p>20</p> <p>Likelihood 5 x Impact 4</p> <p>Extreme</p> <p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 28th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: January 11 2022</p>								

to enable all employers have visibility of their registered workforce

Fee Reminder, Re-registration and Removals dashboard to provide intelligence monitoring

Consideration of longer term actions to assist and support the delivery of the registration function to include 1. The roll a call centre might help with triaging calls 2. Introduction of a Chat bot functionality on the website as a first point of support for registrants 3.Introduction of a timely QI project to assist with process mapping and improvement 4. As part of the People Plan looking at what type of support is required to support registrants in a digital age. 5. Consideration of external expertise to provide assurance and recommendations on what the Social Care Council need to do to support registration going forward

30th Sep 2022

A number of registrants have paid but not completed the re-registration form. It is being monitored but registrants are still paying and then not going back to complete the re-reg form. A plan needs to be put in place to manage those registrants

31st Oct 2022

					Further development work needs to be completed on the Registration system to 1. Inhibit the production of multiple applications for registration 2.A stronger control to be added that inhibits submission of an application form without endorsement 3. Additional development on the re-registration pathway to ensure the sub part cannot be changed	1st Dec 2022	
					Development of a digital pathway to enable employers to pay their registrants fees on their behalf	28th Oct 2022	
					Review of the Application Pathway for Social Workers and Social Care Workers to manage the endorsement details and implement a control to prohibit applicants from bypassing this part of the application form	31st Jan 2023	

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: STN01]</p> <p>Lack of Social Work Workforce Planning.</p> <p>If there is a lack of workforce planning for social work then the ability to deliver safe and effective services could be compromised. Pressures on the workforce arising from COVID-19 may also impact on this risk.</p> <p>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The DoH Social Workforce Review has been completed and action plan developed. Workforce pressures remain. 2. Individual harm to service users. 3. Poor, inconsistent service delivery 4. Lack of career profiles 5. Career expectations not being met 6. Numbers on Degree is capped 	<p>Corporate Oversight</p> <p>Systems leadership engagement and influencing of agenda.</p> <p>Operational Control</p> <p>Workforce Data shared with DoH to inform DoH Workforce Planning Review</p> <p>Engagement with stakeholders takes place</p> <p>Review of the Degree</p> <p>Approval of OU</p> <p>Production of Social Work statistics and data</p> <p>Representation on the Workforce Planning Review oversight and writing group.</p>	Catherine Maguire	Internal Audit IA Audit of Workforce Development	Lack of workforce planning taking place.	<p>Continue to engage with DoH and the social care sector to help influence the systems leadership agenda.</p> <p>Enhance and promote analytical data on the Social Work workforce to support workforce planning and identify and quality and training issues.</p>	<p>30th Sep 2022</p> <p>30th Sep 2022</p>	<p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p>
								<p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
								<p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 17th Apr 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: April 30 2021</p>								

Strategic Theme 2 - Regulate the Workforce and Social Work education and training

Outcomes

- Social work and social care registration is valued and trusted;
- The Social Care Council is an agile regulator able to respond to changing need and demand;
- Social work education and training meets the needs of registrants and employers;
- Fitness to Practice decisions are trusted.

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: REG02]</p> <p>Promoting the value and importance of registration.</p> <p>If we do not have a narrative that effectively promotes the value and importance of registration then regulation does not have the desired impact and is not valued or trusted by the public or professionals.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Registrants and employers disengage with us and their registration obligations. 2. Registrants do not value being a regulated profession. 3. Registrants might not engage with us on the wider agenda and sharing of best practice. 	<p>Corporate Oversight</p> <p>Monthly business performance reports produced.</p>	Catherine Maguire		No gaps in assurance as at April 2020.	Engagement programme to be delivered.	30th Sep 2022	<p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p>
		<p>Operational Control</p> <p>Engagement with registrants and employers takes place.</p> <p>Sharing of personal experiences and stories to better connect with the workforce.</p> <p>Appointment of Social Work and Social Care Ambassadors.</p>						<p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 28th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed:</p>								<p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: REG01]</p> <p>Regulatory Fitness to Practise function resources.</p> <p>If the Fitness to Practise function is not properly resourced to take effective action against registrants who fail to meet the Standards then regulation will be undermined and will not deliver on public safety.</p> <p>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Risk to public safety for service users. 2. Failure to meet legal requirements. 3. Failure to report due to lack of trust. 4. Reduction in the level of quality of our processes and services. 5. Failure to investigate allegations in a timely and effective manner. 6. Reduction in staff morale/commitment leading to potential errors. 	<p>Corporate Oversight</p> <p>KPI's and business volumes reviewed every month.</p> <p>Lessons learned from FTP informs engagement agenda.</p> <p>Operational Control</p> <p>FTP Officers trained and accredited.</p> <p>Resources review carried out.</p> <p>Risk profiling carried out.</p> <p>Business Case for sustainable recurrent funding approved and funding received.</p>	Helen McVicker	<p>Internal Audit</p> <p>IA audit of FTP.</p> <p>External Assurance</p> <p>Field Fisher Audit of FTP.</p>	Ability to secure substantive appointments (September 2021)	Upstreaming approach to business to be implemented.	31st Mar 2023	<div> <p>Inherent</p> <p>8</p> <p>Likelihood 2 x Impact 4</p> <p>High</p> </div> <div> <p>Residual</p> <p>8</p> <p>Likelihood 2 x Impact 4</p> <p>High</p> </div> <div> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p> </div>
<p>Risk Opened: 28th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: April 27 2022</p>	<ol style="list-style-type: none"> 7. Reputational damage to the Organisation and wider implications for the Department of Health Public Protection System 							

Strategic Theme 3 - Develop the Social Work and Social Care Workforce

Outcomes

- Social workers and social care workers are competent, compassionate, values led and skilled in their practice;
- Social workers and social care workers will have the knowledge, skills and competencies to be able to respond and adapt to changing service needs in social care.

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: WFD01]</p> <p>Development of social care policy and resourcing of the social care workforce.</p> <p>If there is a lack of financial support for resourcing the social care workforce and/or development of policy direction for the workforce then social care practice may be compromised.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Lack of funding in the sector will mean the sector is not able to fully avail of training opportunities. 2. Lack of a skilled, capable and developed workforce will place service users at risk of harm from poor practice. 3. Lack of a policy to support social care will mean the sector is not sufficiently supported. 	<p>Operational Control</p> <p>Working relationships with registrants and employers to ensure engagement informs our priorities to support the social care workforce.</p> <p>Use of digital communication methods and platforms available.</p> <p>Learning and development e-platforms to access training are in place.</p> <p>Leaders in Social Care Partnership has agreed a programme of work that will support and influence policy development.</p> <p>Leaders in Social Care Partnership have developed a work plan that focuses on the workforce, communications and data.</p> <p>Extended the range of digital communications to reach and support the sector</p>	Catherine Maguire	<p>Internal Audit</p> <p>IA audit of Workforce Development.</p>	<p>Social Care Policy is not in place to influence the leadership agenda - in particular following the impact of COVID-19 and the demands on the social care sector.</p>	Continued engagement DoH, stakeholders and influencers across the sector.	30th Sep 2022	<p>Inherent</p> <p>16</p> <p>Likelihood 4 x Impact 4</p> <p>High</p>
						Leadership agenda to be promoted and engaged in.	30th Sep 2022	<p>Residual</p> <p>16</p> <p>Likelihood 4 x Impact 4</p> <p>High</p>
						Deliver the Work Programme developed by the Leaders in Social Care Partnership	31st Mar 2023	<p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 28th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: April 30 2021</p>						Continue to promote resources for the sector	30th Sep 2022	

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: WFD06]</p> <p>Resourcing of the Workforce Development Team.</p> <p>If the Workforce Development Team is not sufficiently resourced with a sustainable workforce then they will be unable to deliver their business objectives or priorities.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 46% of WFD team on temporary contracts New development and growth in range of business priorities Criticism from failing to meet our statutory obligations. Increase in sick leave - in particular stress related. Negative impact on morale and delivery of our values and culture. Reduction in quality of work and potential errors/oversights. Recruitment and retention is affected Criticism of failure to effectively engage with registrants and their employers Internal Audit recommendation - May 2021 for plan to address adequate staff resource - 	<p>Corporate Oversight</p> <p>Business reports to SLT on a monthly basis.</p> <p>Operational Control</p> <p>Operational Plan reviewed on a monthly basis at one to ones and team meetings.</p> <p>Sessional list now in place.</p> <p>Fixed term contracts have been extended.</p>	Catherine Maguire	<p>Internal Audit</p> <p>IA audit of workforce development.</p>	<p>The residual impact of this risk was increased from 3 to 4. This reflects the temporary contracts in place and the reliance on these when delivering projects for the Department - and the time it can take to induct/train new staff.</p>			<div> <p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p> </div> <div> <p>Residual</p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p>High</p> </div> <div> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p> </div>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: September 29 2021</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: WFD04] IAR functionality. If the IAR functionality on the system does not work for the assessment point, then this will impact on our relationships with external partners. Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.	Resulting In - 1. PiP functionality on CRM not completed 2. Reduction in number of social workers using IAR leading to reduction in overall engagement in the Framework. 3. Lack of engagement on the Framework due to loss of confidence in the functionality of the system.	Operational Control Guidance made available. Engagement with employers takes place. Groups targeted to make submissions. Standarisation events takes place. Reporting and monitoring of rates of submission and referral in IAR. Priority agreed in relation to functionality of system to support IAR submission and assessment.	Catherine Maguire		No gaps in assurance at April 2020.			Inherent 12 Likelihood Impact 4 x 3 Medium
								Residual 9 Likelihood Impact 3 x 3 Medium
								Target 6 Likelihood Impact 2 x 3 Medium
Risk Opened: 29th May 2019 Created by: Sandra Stranaghan Reviewed: September 11 2019								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: WFD03]</p> <p>Credit Accumulation.</p> <p>If the Credit Accumulation Route in the PiP Framework is not fit for purpose and is inhibited by the system functionality, then Social Workers will disengage from the Framework.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Social workers could lose credits and disengage from the process/system. 2. Reputational damage to the PiP Framework. 	<p>Operational Control</p> <p>Guidance available on learning zone.</p> <p>Engagement activity takes place.</p> <p>Work with employers takes place.</p> <p>Manual workaround fix agreed.</p>	Catherine Maguire		Workflow mapping not available for PiP processes to support system configuration.			<div> <p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p> </div> <div> <p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p> </div> <div> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p> </div>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: September 17 2019</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG			
<p>[Ref: WFD02]</p> <p>Effective partnership/engagement with stakeholders.</p> <p>If we fail to achieve partnership and engagement with stakeholders in supporting the development of social work and social care workforce then social work and social care practice may be compromised.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <p>1. Social Workers and Social Care Workers will not be fully skilled/equipped to be compliant in their roles and responsibilities.</p> <p>2. Social Care Council's reputation and role will be jeopardised.</p>	<p>Corporate Oversight</p> <p>Monthly business performance reports produced.</p> <p>Operational Control</p> <p>Engagement with registrants and employers takes place.</p> <p>Promotion of PiP takes place.</p> <p>Extended means to access PiP are available.</p>	Catherine Maguire	Internal Audit IA audit of Workforce Development	Social Care agenda needs to be strengthened across the sector.	<p>Need to promote PiP more as part of a targeted campaign.</p>	30th Sep 2022	<div><div>Inherent</div><div>12</div><div><div>Likelihood</div><div>4</div><div>x</div><div>Impact</div><div>3</div></div><div>Medium</div></div>			
									<p>Support the further development of the learning and development agenda for social care.</p>	30th Sep 2022	<div><div>Residual</div><div>9</div><div><div>Likelihood</div><div>3</div><div>x</div><div>Impact</div><div>3</div></div><div>Medium</div></div>
									<p>Meeting with Senior Staff in Employing organisations and HEFI's</p>	31st Dec 2022	<div><div>Target</div><div>3</div><div><div>Likelihood</div><div>1</div><div>x</div><div>Impact</div><div>3</div></div><div>Medium</div></div>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: May 29 2019</p>											

Strategic Theme 4 - Promote a Systems Leadership approach across the Social Care Sector

Outcome

- A systems leadership environment is created which provides for improved understanding and connection across the sector;
- Capacity is built to use collective intelligence to effect real, meaningful and positive change in social work and social care standards and practice;
- The Social Care Council's Standards for Employers support the social work and social care workforce to deliver safe and effective care.

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: SYS02]</p> <p>Promoting Systems Leadership.</p> <p>If we do not have sufficient capacity to enable us to take a lead role in promoting systems leadership then the strategic development of the social work and social care workforce will be compromised.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The needs of service users will not be met due to a disparate approach to social care provision. 2. Reputational damage from inability to engage fully in promoting systems leadership. 3. Criticism from stakeholders. 	<p>Corporate Oversight</p> <p>Accountability meetings take place.</p> <p>Attendance at relevant partnership/stakeholder events and groups takes place.</p>	Marian O'Rourke	<p>External Assurance</p> <p>Social Care Council identified as the lead body in a substantive range of recommendations in the Reform of Adult Social Care consultation</p> <p>Social Care Council identified as lead body for a number of the workstreams of the Social Work Workforce Implementation Board</p>	<p>1. Capacity requirements to take a lead role to be fully understood and evaluated.</p>	<p>Continue to engage with department and relevant stakeholders.</p> <p>Review resources to ensure we can effectively engage, influence and deliver the leadership agenda.</p>	29th Sep 2022	<p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p>
								<p>Residual</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
								<p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: April 27 2022</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: SYS01]</p> <p>Ability of Stakeholders to engage with Social Care Council.</p> <p>If our stakeholders are unable to effectively engage with us due to financial and/or resource pressures, then the strategic development of the social work and social care workforce will be compromised. The impact on COVID-19 on the sector and employers may impact this work, however the Social Care Council is using its partnerships to help the sector at this difficult time.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The needs of the sector will not be met and the Department's Transformational Programme will not be delivered in full. 2. Ineffective and inefficient use of resources in supporting the sector due to lack of strategic direction. 3. Instability in the workforce. 	<p>Corporate Oversight</p> <p>Accountability meetings take place.</p> <p>Attendance at relevant partnership/stakeholder groups.</p> <p>Transformational projects being delivered.</p> <p>Operational Control</p> <p>Project established to review engagement with registrants following standing down of Registrants Forum</p>	Marian O'Rourke		The sector may not be able to fully engage on this work while it responds to the COVID-19 pandemic.	<p>Continue to engage with department and relevant stakeholders.</p> <p>Project established to review engagement with Registrants as a key stakeholder</p>	31st Mar 2023	<div> <div> Inherent 12 Likelihood 3 x Impact 4 High </div> <div> Residual 4 Likelihood 2 x Impact 2 Low </div> <div> Target 4 Likelihood 2 x Impact 2 Low </div> </div>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 2nd Sep 2022</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: SYS03]</p> <p>Social Work and Social Care Sector Data and Intelligence.</p> <p>If we do not gather full sector data and intelligence then the strategic development of the Social Work and Social Care workforce will be compromised.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The Social Care Council's reputation as a strong voice for the sector will not be utilised and good information management will not be put to effective use. 2. Quality information will not be utilised. 3. Criticism from stakeholders. 	<p>Corporate Oversight</p> <p>Monthly business reports produced.</p> <p>Operational Control</p> <p>Data Analyst appointed.</p> <p>New Socrates system rolled out.</p> <p>Reports from Socrates being developed.</p>	Declan McAllister	Internal Audit IA audit of Socrates	No gaps in assurance as at April 2020.	Pathway to be developed to deliver on sector intelligence.	30th Dec 2022	<div>Inherent</div> <div>6</div> <div>Likelihood 3 x Impact 2</div> <div>Low</div>
						Workstream on Social Care Data and Intelligence to be set up and reporting on progress to the Social Care Leadership Forum	30th Sep 2022	<div>Residual</div> <div>4</div> <div>Likelihood 2 x Impact 2</div> <div>Low</div>
						Audit Recommendation 1.1 The Social Care Council should work with DoH to assist them in implementing the recent Landscape Review recommendations including Social care Dataset	30th Sep 2022	<div>Target</div> <div>3</div> <div>Likelihood 1 x Impact 3</div> <div>Medium</div>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed:</p>								

Strategic Theme 5 - Communicate, Connect and Engage

Outcome

- Improved public perception of social workers and social care workers as a workforce that is committed to upholding standards;
- Increased confidence in the contribution of workforce regulation in serving and protecting the public, minimising risk and reducing harms by embedding and raising standards;
- The views, experience and expertise of service users and carers in informing our business is valued and can be evidenced.

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COM01]</p> <p>Capturing the Views of Service Users and Carers.</p> <p>If we do not empower and listen to service users and carers to capture their views and experiences then this may lead to services being provided which do not meet their needs.</p> <p>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Lack of awareness of the role and function of the Council. 2. Council business will not meet the needs to service users and carers. 3. Service users and carers will disengage from the Council. 	<p>Corporate Oversight</p> <p>Participation Forum in place.</p> <p>Reports from Participation Forum tabled to the meetings of the Board.</p> <p>Operational Control</p> <p>Evaluation Framework in place.</p>	Declan McAllister	<p>External Assurance</p> <p>Benchmarking of Participation Best Practice completed by QUB and recommendations implemented via Partnership Terms of Reference</p>	While some data is available, full evaluation of impact of service user and carer input is not yet available.	Mechanisms to enhance utilising the views/experiences of service users and carers to be explored.	30th Nov 2022	<p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
								<p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
								<p>Target</p> <p>3</p> <p>Likelihood 1 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed:</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COM03]</p> <p>Resourcing of Communication function.</p> <p>If the Communication function is not properly resourced then this may impact on the quality of work , capacity to deliver and/or errors.</p> <p>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Complaints received. 2. Social Care Council integrity compromised. 3. Potential legal action. 4. Complaint to the Information Commissioners Office (ICO). 5. Loss of trust/confidence. 6. Unable to deliver comms/engagement programmes fully. 7. Key messages to registrants and other stakeholders do not issue. 	<p>Corporate Oversight</p> <p>Communications are routinely monitored with daily, weekly, monthly, quarterly and annual activity and reporting.</p> <p>Operational Control</p> <p>Staff are trained in their respective roles and functions.</p> <p>Approved processes in place for communications.</p> <p>Lessons learned shared with team and others.</p>	Rita Lewtas			Social media policy for staff to be undertaken.	30th Nov 2022	<p>Inherent</p> <p>9</p> <p>Likelihood Impact</p> <p>3 x 3</p> <p>Medium</p>
								<p>Residual</p> <p>9</p> <p>Likelihood Impact</p> <p>3 x 3</p> <p>Medium</p>
								<p>Target</p> <p>6</p> <p>Likelihood Impact</p> <p>2 x 3</p> <p>Medium</p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: January 18 2022</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COM02]</p> <p>Development of content to support and promote the Social Care Council's role and services</p> <p>If we do not develop accurate content and promote this in the most effective way using a mixture of digital/traditional comms then there may be a lack of awareness of the role and function of the Social Care Council and the services it provides.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Failing practice will not be brought to the attention of the Social Care Council. 2. Service users/public will not know how to report care issues to the Social Care Council. 3. Sector will not fully understand their roles and responsibilities due to lack of engagement and promotion. 	<p>Corporate Oversight</p> <p>Monthly business performance reports produced.</p> <p>Digital Media Strategy is in place.</p> <p>Operational Control</p> <p>Comms and engagement plans are in place.</p>	Rita Lewtas		No gaps in assurance at April 2021.	<p>Ongoing delivery of communications and engagement activity</p> <p>Put in place sustainable resources to support the business need and future demand</p>	<p>31st Oct 2022</p> <p>31st Oct 2022</p>	<div> <p>Inherent</p> <p>8</p> <p>Likelihood 2 x Impact 4</p> <p>High</p> </div> <div> <p>Residual</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p> </div> <div> <p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p> </div>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed:</p>								

Strategic Theme 6 - Infrastructure and Leadership

Outcomes

- The Social Care Council will ensure it is an employer of choice and will employ, develop and retain hard working, skilled staff who are committed to delivering quality services;
- The Social Care Council will deploy its resources within robust and accountable governance frameworks to ensure it delivers value for money and is capable of delivering its commitments over the next 4 years

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR24]</p> <p>Recruitment</p> <p>If the Social Care Council is unable to recruit the best staff to fill its vacancies in a timely manner then the organisation may be unable to fill its full range of functions to support the delivery of its Business Plan.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> Unnecessary delays in filling vacancies which will cause pressures on teams and/or the ability to deliver business objectives on time. Ineffective processes and systems within BSO to support recruitment may deter candidates from applying and may reflect poorly on the organisation. Lack of good communication and support from Retained Recruitment and BSO Shared Services will result in additional work for the organisation which is time-consuming and unnecessary. Ineffective recruitment procedures may result in losing good quality candidates who secure other positions due to the lengthy delays to appoint. Lack of a good quality service from BSO Retained Recruitment will cause delays and 	<p>Corporate Oversight</p> <p>SLA with BSO and Shared Services in place</p> <p>Operational Control</p> <p>Processes and Procedures in place in BSO</p> <p>Meeting with Shared Services held with actions agreed at the meeting.</p> <p>ALB Forum discuss recruitment related issues</p>	Sandra Stranaghan	Internal Audit	No gaps presently identified - September 2022	Follow up actions from meeting with Shared Services - including arranging further meeting and training	30th Dec 2022	<div>Inherent</div> <div>20</div> <div>Likelihood 5 x Impact 4</div> <div>Extreme</div>
						Arrange meeting in relation to Retained Recruitment	30th Dec 2022	<div>Residual</div> <div>15</div> <div>Likelihood 5 x Impact 3</div> <div>High</div>
						Agree feedback and improvement methodology to support better recruitment practices and reduce delays.	30th Dec 2022	<div>Target</div> <div>6</div> <div>Likelihood 3 x Impact 2</div> <div>Low</div>
						Arrange a meeting with BSO HR to consider better ways to support Workforce Planning and Recruitment	30th Dec 2022	
						New HRPTS system - inc. e-rec being designed/developed	2nd Sep 2024	
						Recruitment - Standing Item on OLT agenda	31st Oct 2022	

<p>Risk Opened: 27th Sep 2022</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 27th Sep 2022</p>	<p>loss of reputation.</p> <p>6. Lack of a good quality service from BSO Shared Services Recruitment will result in delays and a loss of reputation.</p> <p>7. Reputational damage to the Social Care Council.</p>						
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Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR11]</p> <p>BSO Shared Services.</p> <p>If the services provided by BSO Shared Services do not meet the standard agreed under the SLA's then the Social Care Council's ability to run aspects of its business effectively will be compromised.</p> <p>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. KPI's not met and/or business objectives not delivered. 2. Errors, oversights and/or delays may occur. 3. Non compliance with legislation. 4. Reduced assurance regarding the value for money/sustainability of the SLA's in place. 5. Unacceptable customer service leading to complaints. 	<p>Corporate Oversight</p> <p>Annual and mid-year review of Shared Service contracts.</p>	Sandra Stranaghan	<p>Internal Audit</p> <p>Shared Service functions are audited by Internal Audit on a regular basis and these reports are shared with the Board.</p>	Subcontractor for HRPTS has gone into administration (April 2022)			<p>Inherent</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
		<p>Operational Control</p> <p>Regular business meetings are in place in key areas of shared services.</p>						<p>Residual</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p>
		<p>Director of Registration and Corporate Services attends the Regional Customer Forum for Shared Services.</p> <p>SLA's in place with Shared Services.</p>						<p>Target</p> <p>3</p> <p>Likelihood 1 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 19th Aug 2022</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR01]</p> <p>Management of Financial Resources.</p> <p>If there is a climate of uncertainty of funding to deliver the Social Care Council's services then business performance and delivery of business objectives will be compromised.</p> <p>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Non compliance with the statutory duty to break even. 2. Loss of reputation and public confidence in the organisation. 3. Qualification of accounts. 4. Organisational reputation negatively impacted. 5. Inability to deliver on the business plan and/or some of the statutory functions. 6. Increased absence levels due to lack of resources and negative impact on morale. 7. Reduction in the quality of services. 	<p>Corporate Oversight</p> <p>Financial reporting structure in place</p> <p>Business performance reports reviewed monthly.</p> <p>Financial monitoring report approved monthly by SLT and quarterly by the Board.</p> <p>Operational Control</p> <p>Delegated budgets across budget holders and kept under review monthly</p>	Declan McAllister	<p>Internal Audit</p> <p>IA Financial Audit resulted in satisfactory assurance.</p> <p>External Assurance</p> <p>Annual accounts certified by the NI Audit Office.</p>	<p>FTP Business Case with DoH and waiting funding.</p> <p>Financial impact of COVID-19 is being worked through with the DoH. A draft budget profile has been produced for the Board meeting for May 2020. A revised description of the risk has been proposed at the Audit Committee in May 2020 and this has been accepted.</p>			<div> <p>Inherent</p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p>High</p> </div> <div> <p>Residual</p> <p>10</p> <p>Likelihood 5 x Impact 2</p> <p>Medium</p> </div> <div> <p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p> </div>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 10th Aug 2022</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR16]</p> <p>COVID-19 Virus</p> <p>If we do not plan, manage and maintain operations during an emergency pandemic then delivery of Social Care Council services will be compromised.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The sector may face difficulty in delivering services 2. Staff may face difficulty in delivering services 3. Ability to deliver statutory functions negatively impacted 4. Loss of staff (internal and external) due to sickness and/or caring arrangements 5. Some services/projects may be delayed or not delivered due to allocating resources to front line priorities and activities 6. A delay in registration of workers supporting the social work and social care sectors 7. A delay in removal of persons from the workforce who are a danger to the public 8. Fee income and other funding and resources can be difficult to predict and manage 	<p>Corporate Oversight</p> <p>Command and Control Team activated</p> <p>SLT connected to DoH Command and Control arrangements to support the sector</p> <p>Business Transition plan in place and approved by the Board</p> <p>Board approved the activation of Phase 2 of the Business Transition Plan</p> <p>Operational Control</p> <p>Business priorities reviewed by OLT and mitigating action to support this has been taken</p> <p>Business Continuity Plan and Strategy updated and in place</p> <p>Regular communications (internal and external) taking place</p> <p>FTP have reviewed their business priorities and options for continuity</p> <p>Registration have reviewed this business priorities and identified business continuity backup</p>	Declan McAllister		None Identified	Outcome of Agile Working Pilot to be assessed	31st Oct 2022	<div> <p>Inherent</p> <p>25</p> <p>Likelihood 5 x Impact 5</p> <p>Extreme</p> </div> <div> <p>Residual</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p> </div> <div> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p> </div>
<p>Risk Opened: 13th Mar 2020</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 27th Sep 2022</p>								

		<p>Socrates made available to all staff in the Social Care Council</p> <p>The Four Country Regulators are benchmarking and collabrating on a joint way forward in terms of registration and regulation duirng the period of COVID 19</p> <p>Working Safely Protocols Developed</p> <p>Increased social distancing measures introduced Nov 2021</p> <p>CBLT stood down - as business normalises</p>							
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