

# 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><b>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. People working in the social work and social care sectors without the legal right to do so.</li> <li>2. Lack of public confidence and reputation of the Social Care Council as a regulator.</li> <li>3. Negative impact on workforce planning arising from staff being removed from the register.</li> <li>4. Employers coming under enforcement action by RQIA for employing unregistered workers</li> <li>5. A register that is not fit for purpose to support regulation policy</li> </ol>	<p><b>Corporate Oversight</b></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><b>Operational Control</b></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><b>Internal Audit</b></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><b>Inherent</b></p> <p>20</p> <p>Likelihood 5 x Impact 4</p> <p><b>Extreme</b></p> <p><b>Residual</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p> <p><b>Target</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></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><b>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. The DoH Social Workforce Review has been completed and action plan developed. Workforce pressures remain.</li> <li>2. Individual harm to service users.</li> <li>3. Poor, inconsistent service delivery</li> <li>4. Lack of career profiles</li> <li>5. Career expectations not being met</li> <li>6. Numbers on Degree is capped</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Systems leadership engagement and influencing of agenda.</p> <p><b>Operational Control</b></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.	Continue to engage with DoH and the social care sector to help influence the systems leadership agenda.	30th Sep 2022	<p><b>Inherent</b></p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p><b>Medium</b></p>
						Enhance and promote analytical data on the Social Work workforce to support workforce planning and identify and quality and training issues.	30th Sep 2022	<p><b>Residual</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p>
								<p><b>Target</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></p>
<p>Risk Opened: 17th Apr 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: April 30 2021</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: STN03]</p> <p>Registrants understanding of the Standards.</p> <p>If registrants do not understand the Standards of Conduct and Practice then care may fall short of expected requirements.</p> <p><i>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</i></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>Poor delivery of high quality care to citizens.</li> <li>Care is not delivered to required standards.</li> <li>Increase in referrals to FTP.</li> </ol>	<p><b>Operational Control</b></p> <p>Programme of engagement has taken place,</p> <p>Standards produced in a range of formats and made available.</p>	Catherine Maguire	<p><b>Internal Audit</b></p> <p>IA audit of FTP provided satisfactory assurance.</p>	No gaps in assurance identified at April 2020.			<div> <p><b>Inherent</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Residual</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Target</b></p> <p>3</p> <p>Likelihood 1 x Impact 3</p> <p><b>Medium</b></p> </div>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: May 30 2019</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: REG08]</p> <p>Registration Rules and Process Compliance</p> <p>The Registration rules should determine the systems and processes that in place to ensure Register integrity and accuracy of the Public Facing Register. The Register and PFR should be automatically updated with all relevant compliances in line with the Social Care Council Disclosure policy and the Registration and Fitness to Practise Rules to provide accurate and timely information that supports employers, registrants, service users, carers and overall protection for the public</p> <p><b>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. The protection of the public from untoward registrants will be reduced</li> <li>2. The integrity of the register will be called into question</li> <li>3. The Social Care Council reputation will be impacted</li> </ol>		Declan McAllister			Names appearing more than once on the register and is related to registrants with more than one active employments	1st Dec 2022	<p><b>Inherent</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p>
						Engagement meeting with Helen McVicker, Caroline Cumberland and Michael to identify which conditions need to be applied and shown on the PFR	30th Nov 2022	<p><b>Residual</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p>
						System compliance status field and labels to be reviewed and updated on the system to include sorting of registrants on the PFR where there is a similar surname.	1st Dec 2022	<p><b>Target</b></p> <p>3</p> <p>Likelihood 1 x Impact 3</p> <p><b>Medium</b></p>
						XML codes to be reviewed in line with End dates for compliances and follow up data cleansing work to be completed and checking the process is correct with respect to Registration advisors.	31st Jan 2023	
						A PFR audit to be considered as part of the Registration audit for BSO Internal Audit.	31st Mar 2023	

<p>Risk Opened: 21st Dec 2020</p> <p>Created by: Declan McAllister</p> <p>Reviewed:</p>					<p>Communication to be planned and shared with all staff with respect to their duty to inform FTP officers of a potential worker who may not be registered with the Social Care Council</p>	30th Sep 2022	
					<p>A review of the CRM fee creation and fee terms changes to be completed</p>	2nd Jan 2023	
					<p>Lapsed status for Registrants to be reviewed on CRM with the additional automated comment "failed to maintain registration" applied and shown on the PFR</p>	2nd Jan 2023	
					<p>Updating of Registration Rules on definitions of lapsed and change of terms for fees to be completed</p>	1st Feb 2023	

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><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Registrants and employers disengage with us and their registration obligations.</li> <li>2. Registrants do not value being a regulated profession.</li> <li>3. Registrants might not engage with us on the wider agenda and sharing of best practice.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Monthly business performance reports produced.</p> <p><b>Operational Control</b></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>	Catherine Maguire		No gaps in assurance as at April 2020.	Engagement programme to be delivered.	30th Sep 2022	<div> <b>Inherent</b>  12  Likelihood      Impact  4      x      3  <b>Medium</b> </div> <div> <b>Residual</b>  9  Likelihood      Impact  3      x      3  <b>Medium</b> </div> <div> <b>Target</b>  6  Likelihood      Impact  2      x      3  <b>Medium</b> </div>
<p>Risk Opened: 28th 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
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<p>[Ref: COR21]</p> <p>EU Exit Impact</p> <p>Changes will be happening with respect to the recognition of European Economic Area (EEA) and Swiss professional qualifications after EU Exit and it is important that processes and systems are in place to manage the recognition of Internationally qualified social workers and their process for registration to practice in Northern Ireland. Failure to have processes in place may delay the registration of an IQSW</p> <p><b>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. The Council may be impacting on diversity of the Social Work workforce</li> <li>2. There may be Social Workers practicing in Northern Ireland who are not registered</li> <li>3. The reputation of the Council could be impacted</li> <li>4. The Council may not be compliant with MPRQ regulations</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Director of Registration and Corporate Services is the representative on the DOH EU Exit forum</p> <p>Direct connections with BEIS in place who are responsible for managing EU Exit and workforce/qualifications</p> <p><b>Operational Control</b></p> <p>Workforce Development represent the Social Care Council on the four countries meeting which has been reviewing EU Exit and working to provide consistency in terms of policy and processes.</p>	<p>Declan McAllister</p>			<p>Rewrite internal documents regarding Registration Work instructions to support the new IQSW form</p>	<p>1st Dec 2022</p>	<p><b>Inherent</b> 12 Likelihood 3 x Impact 4 <b>High</b></p>
<p>Risk Opened: 7th Dec 2020</p> <p>Created by: Declan McAllister</p> <p>Reviewed: June 27 2022</p>						<p>Action needed re dual registration requirements for NI/ROI &amp; ROI/NI social workers, and other social care workers registered in 1 domain but required to travel to another for placement visits etc. NI registrants must register with CORU. PH will raise with DoH in the 1st instance and later TUSLA if cleared to do so</p> <p>Agreement between the four country regulators on the process for registration for Social Workers who need to work in another jurisdiction in the UK on a temporary basis.</p> <p>Belfast Trust to support compensatory measures practice for IQSW social workers with a final process to be agreed which would cover all HSC trusts.</p> <p>Register of all qualifications recognitions and assessments to be set up to improve efficiency in IQSW qualifications approval process.</p>	<p>30th Sep 2022</p> <p>30th Sep 2022</p> <p>31st Dec 2022</p> <p>30th Nov 2022</p>	<p><b>Residual</b> 9 Likelihood 3 x Impact 3 <b>Medium</b></p> <p><b>Target</b> 1 Likelihood 1 x Impact 1 <b>Low</b></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><b>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Risk to public safety for service users.</li> <li>2. Failure to meet legal requirements.</li> <li>3. Failure to report due to lack of trust.</li> <li>4. Reduction in the level of quality of our processes and services.</li> <li>5. Failure to investigate allegations in a timely and effective manner.</li> <li>6. Reduction in staff morale/commitment leading to potential errors.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>KPI's and business volumes reviewed every month.</p> <p>Lessons learned from FTP informs engagement agenda.</p> <p><b>Operational Control</b></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><b>Internal Audit</b></p> <p>IA audit of FTP.</p> <p><b>External Assurance</b></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><b>Inherent</b></p> <p>8</p> <p>Likelihood 2 x Impact 4</p> <p><b>High</b></p> </div> <div> <p><b>Residual</b></p> <p>8</p> <p>Likelihood 2 x Impact 4</p> <p><b>High</b></p> </div> <div> <p><b>Target</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></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"> <li>7. Reputational damage to the Organisation and wider implications for the Department of Health Public Protection System</li> </ol>							

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: REG07]</p> <p>Registration Team Skills and Experience.</p> <p>If we do not understand the level of Registration Team Skills and Experience then work outputs and individual/team training needs will not be met. The increased workload balanced against fluctuating team numbers remains a concern. Concerted effort is being placed on reducing historic backlogs in order to present a clearer picture of new work streams.</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><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Periods of absence impact on cover leading to errors, complaints and poor data quality.</li> <li>2. Staff turnover may increase due to stress.</li> <li>3. KPI's may not be met leading to criticism.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Staffing review with Director of Registration and Corporate Services carried out.</p> <p><b>Operational Control</b></p> <p>Training plan in place for registration staff.</p> <p>Experience team leaders in place to review and approve work.</p>	Ruth Hutchison		Some posts still filled on a temporary basis.			<div> <b>Inherent</b>  6  Likelihood    Impact  3    x    2  <b>Low</b> </div> <div> <b>Residual</b>  6  Likelihood    Impact  3    x    2  <b>Low</b> </div> <div> <b>Target</b>  4  Likelihood    Impact  2    x    2  <b>Low</b> </div>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: September 16 2019</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: REG03]</p> <p>Understanding the importance of regulation.</p> <p>If social care registrants and their employers fail to understand the importance of regulation then public protection and professionalism could be compromised.</p> <p><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Registrants being removed from the register.</li> <li>2. Reduction in the quality of service delivered to service users.</li> <li>3. Employers do not fully engage with the Social Care Council.</li> <li>4. The benefits of social care regulation are not understood or supported in the sector.</li> <li>5. Social care workforce start to disengage from the Social Care Council and the Standards.</li> <li>6. Workforce destabilised as people are removed from the register due to failure to renew.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Council has a corporate commitment to support social care regulation and systems leadership.</p> <p><b>Operational Control</b></p> <p>Social Care Council is an active participant in relative forums.</p>	Catherine Maguire	<p><b>Internal Audit</b></p> <p>IA audit of FTP provided a satisfactory assurance.</p>	No gaps identified at April 2020.	Systems leadership agenda to be implemented.	3rd Nov 2022	<div> <p><b>Inherent</b></p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Residual</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Target</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></p> </div>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: May 30 2019</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: REG06]</p> <p>Committee members' experience.</p> <p>If Committee members are unable to build experience due to numbers, then they may not develop sufficient knowledge or experience of the Rules and processes to enable them in their decision making.</p> <p><b>Appetite : Moderate - Balanced.</b> Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>Potential for inconsistent decision making.</li> <li>Potential for poor time management due to inexperience with associated financial impact.</li> <li>Members unable to fully apply training due to delays between training and opportunities to put it into practice.</li> <li>Public protection</li> </ol>	<p><b>Operational Control</b></p> <p>System in place to ensure, as much as possible given other selection criteria, that all members are selected in a cyclical order to maximise experience.</p> <p>Learning materials forwarded to members on a regular basis.</p>	<p>Caroline Cumberland</p>	<p><b>External Assurance</b></p> <p>Legal advice obtained on re-appointments process.</p> <p>A legal adviser sits with all Committees to advise on questions of law and to ensure that proceedings are conducted fairly.</p>	<p>No gaps in assurance identified at April 2020.</p>	<p>Training programme to be developed.</p> <p>Field Fisher conducting an independent audit of FTP decisions.</p>	<p>31st Oct 2022</p> <p>31st Mar 2023</p>	<p><b>Inherent</b></p> <p>2</p> <p>Likelihood Impact</p> <p>1 x 2</p> <p><b>Low</b></p>
								<p><b>Residual</b></p> <p>2</p> <p>Likelihood Impact</p> <p>1 x 2</p> <p><b>Low</b></p>
								<p><b>Target</b></p> <p>2</p> <p>Likelihood Impact</p> <p>1 x 2</p> <p><b>Low</b></p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: October 12 2020</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: REG05]</p> <p>Performance management of regulatory chairs and committee members.</p> <p>If there are inadequate governance assurance arrangements surrounding the performance management of regulatory chairs and committee members, then this may expose the Council to poor decision making, reputational damage and litigation.</p> <p><b>Appetite : Moderate - Balanced.</b> Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Negative impact on reputation.</li> <li>2. Potential for litigation.</li> <li>3. Perceived unfairness around re-appointment and termination.</li> <li>4. Poor decision-making.</li> <li>5. Negative impact on public protection.</li> <li>6. Loss of confidence / trust from stakeholders, including the public.</li> </ol>	<p><b>Operational Control</b></p> <p>Governance Framework to include proposal to establish Appointments Board.</p> <p>360 online tool developed and implemented to assess chairs and committee members throughout the year.</p>	Caroline Cumberland	<p><b>External Assurance</b></p> <p>Legal advice obtained around re-appointment process.</p>	No gaps in assurance identified at April 2020.			<div> <b>Inherent</b>  <b>4</b>  <small>Likelihood      Impact</small>            2      x      2  <b>Low</b> </div> <div> <b>Residual</b>  <b>1</b>  <small>Likelihood      Impact</small>            1      x      1  <b>Low</b> </div> <div> <b>Target</b>  <b>1</b>  <small>Likelihood      Impact</small>            1      x      1  <b>Low</b> </div>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: April 28 2022</p>								

### 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><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Lack of funding in the sector will mean the sector is not able to fully avail of training opportunities.</li> <li>2. Lack of a skilled, capable and developed workforce will place service users at risk of harm from poor practice.</li> <li>3. Lack of a policy to support social care will mean the sector is not sufficiently supported.</li> </ol>	<p><b>Operational Control</b></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	Internal Audit	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.	Continued engagement DoH, stakeholders and influencers across the sector.	30th Sep 2022	<div>Inherent</div> <div>16</div> <div>Likelihood Impact</div> <div>4 x 4</div> <div>High</div>
<p>Risk Opened: 28th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: April 30 2021</p>						Leadership agenda to be promoted and engaged in.	30th Sep 2022	<div>Residual</div> <div>16</div> <div>Likelihood Impact</div> <div>4 x 4</div> <div>High</div>
						Deliver the Work Programme developed by the Leaders in Social Care Partnership	31st Mar 2023	<div>Target</div> <div>6</div> <div>Likelihood Impact</div> <div>2 x 3</div> <div>Medium</div>
						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><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>46% of WFD team on temporary contracts</li> <li>New development and growth in range of business priorities</li> <li>Criticism from failing to meet our statutory obligations.</li> <li>Increase in sick leave - in particular stress related.</li> <li>Negative impact on morale and delivery of our values and culture.</li> <li>Reduction in quality of work and potential errors/oversights.</li> <li>Recruitment and retention is affected</li> <li>Criticism of failure to effectively engage with registrants and their employers</li> <li>Internal Audit recommendation - May 2021 for plan to address adequate staff resource -</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Business reports to SLT on a monthly basis.</p> <p><b>Operational Control</b></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><b>Internal Audit</b></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><b>Inherent</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Residual</b></p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p><b>High</b></p> </div> <div> <p><b>Target</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></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.  <b>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</b>	<b>Resulting In -</b>  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.	<b>Operational Control</b>  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.			<b>Inherent</b> 12 Likelihood      Impact 4      x      3 <b>Medium</b>
								<b>Residual</b> 9 Likelihood      Impact 3      x      3 <b>Medium</b>
								<b>Target</b> 6 Likelihood      Impact 2      x      3 <b>Medium</b>
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"> <li>1. Social workers could lose credits and disengage from the process/system.</li> <li>2. Reputational damage to the PiP Framework.</li> </ol>	<p><b>Operational Control</b></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><b>Inherent</b></p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Residual</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Target</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></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
<div>[Ref: WFD02]</div> <div>Effective partnership/engagement with stakeholders.</div> <div>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.</div> <div>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.</div>	<div>Resulting In -</div> <div>1. Social Workers and Social Care Workers will not be fully skilled/equipped to be compliant in their roles and responsibilities.</div> <div>2. Social Care Council's reputation and role will be jeopardised.</div>	<div>Corporate Oversight</div> <div>Monthly business performance reports produced.</div> <div>Operational Control</div> <div>Engagement with registrants and employers takes place.</div> <div>Promotion of PiP takes place.</div> <div>Extended means to access PiP are available.</div>	Catherine Maguire	Internal Audit IA audit of Workforce Development	Social Care agenda needs to be strengthened across the sector.	<div>Need to promote PiP more as part of a targeted campaign.</div> <div>30th Sep 2022</div>	<div>Inherent 12</div> <div>Likelihood 4 x Impact 3</div> <div>Medium</div>	
		<div>Support the further development of the learning and development agenda for social care.</div> <div>30th Sep 2022</div>				<div>Residual 9</div> <div>Likelihood 3 x Impact 3</div> <div>Medium</div>		
		<div>Meeting with Senior Staff in Employing organisations and HEFI's</div> <div>31st Dec 2022</div>				<div>Target 3</div> <div>Likelihood 1 x Impact 3</div> <div>Medium</div>		
<div>Risk Opened: 29th May 2019</div> <div>Created by: Sandra Stranaghan</div> <div>Reviewed: May 29 2019</div>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: REG04]</p> <p>Case closures/consensual disposals processes.</p> <p>If the Social Care Council processes for case closures/consensual disposals are not sufficiently transparent then public and stakeholder confidence in regulation will be compromised.</p> <p><b>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Lack of engagement with fitness to practise processes</li> <li>2. Potential appeal and JR of decisions.</li> <li>3. Public confidence in regulatory function is compromised.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Robust internal and external audit processes in place.</p>	<p>Helen McVicker</p>	<p><b>Internal Audit</b></p> <p>IA audit of FTP in November 2019 provided satisfactory assurance.</p> <p>Internal organisational audit of FTP performance undertaken against Professional Standards Authority Performance Framework</p>	<p>No gaps in assurance identified at April 2020.</p>			<p><b>Inherent</b></p> <p>4</p> <p>Likelihood Impact</p> <p>2 x 2</p> <p>Low</p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed:</p>								<p><b>Residual</b></p> <p>6</p> <p>Likelihood Impact</p> <p>2 x 3</p> <p>Medium</p>
								<p><b>Target</b></p> <p>3</p> <p>Likelihood Impact</p> <p>1 x 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: WFD05]</p> <p>Internationally Qualified Social Workers.</p> <p>If Internationally Qualified Social Workers (IQSW) do not meet our Standards then there is a safety risk.</p> <p><b>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>Poorly trained or not properly trained people are being allowed to practice.</li> <li>Negative impact on the Social Care Council's reputation from IQSW applicant failing to meet Standards.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Five country work active to share learning and improve knowledge.</p> <p><b>Operational Control</b></p> <p>EU Directive complied with.</p> <p>Robust procedures in place.</p> <p>Procedures reviewed and updated. Guidance had been agreed and added to website.</p> <p>Guidance for applicants and Social Care Council staff available.</p>	Catherine Maguire		No gaps in assurance as at April 2020.			<p><b>Inherent</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed:</p>								<p><b>Residual</b></p> <p>2</p> <p>Likelihood 1 x Impact 2</p> <p><b>Low</b></p>
								<p><b>Target</b></p> <p>2</p> <p>Likelihood 1 x Impact 2</p> <p><b>Low</b></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><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. The needs of service users will not be met due to a disparate approach to social care provision.</li> <li>2. Reputational damage from inability to engage fully in promoting systems leadership.</li> <li>3. Criticism from stakeholders.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Accountability meetings take place.</p> <p>Attendance at relevant partnership/stakeholder events and groups takes place.</p>	Marian O'Rourke	<p><b>External Assurance</b></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><b>Inherent</b></p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p><b>Medium</b></p>
								<p><b>Residual</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></p>
								<p><b>Target</b></p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p><b>Medium</b></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><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. The needs of the sector will not be met and the Department's Transformational Programme will not be delivered in full.</li> <li>2. Ineffective and inefficient use of resources in supporting the sector due to lack of strategic direction.</li> <li>3. Instability in the workforce.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Accountability meetings take place.</p> <p>Attendance at relevant partnership/stakeholder groups.</p> <p>Transformational projects being delivered.</p> <p><b>Operational Control</b></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> <b>Inherent</b>  12  Likelihood 3 x Impact 4  <b>High</b> </div> <div> <b>Residual</b>  4  Likelihood 2 x Impact 2  <b>Low</b> </div> <div> <b>Target</b>  4  Likelihood 2 x Impact 2  <b>Low</b> </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><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>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.</li> <li>2. Quality information will not be utilised.</li> <li>3. Criticism from stakeholders.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Monthly business reports produced.</p> <p><b>Operational Control</b></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><b>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Lack of awareness of the role and function of the Council.</li> <li>2. Council business will not meet the needs to service users and carers.</li> <li>3. Service users and carers will disengage from the Council.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Participation Forum in place.</p> <p>Reports from Participation Forum tabled to the meetings of the Board.</p> <p><b>Operational Control</b></p> <p>Evaluation Framework in place.</p>	Declan McAllister	<p><b>External Assurance</b></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><b>Inherent</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p>
								<p><b>Residual</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p>
								<p><b>Target</b></p> <p>3</p> <p>Likelihood 1 x Impact 3</p> <p><b>Medium</b></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><b>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Complaints received.</li> <li>2. Social Care Council integrity compromised.</li> <li>3. Potential legal action.</li> <li>4. Complaint to the Information Commissioners Office (ICO).</li> <li>5. Loss of trust/confidence.</li> <li>6. Unable to deliver comms/engagement programmes fully.</li> <li>7. Key messages to registrants and other stakeholders do not issue.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Communications are routinely monitored with daily, weekly, monthly, quarterly and annual activity and reporting.</p> <p><b>Operational Control</b></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><b>Inherent</b></p> <p>9</p> <p>Likelihood      Impact</p> <p>3      x      3</p> <p><b>Medium</b></p>
								<p><b>Residual</b></p> <p>9</p> <p>Likelihood      Impact</p> <p>3      x      3</p> <p><b>Medium</b></p>
								<p><b>Target</b></p> <p>6</p> <p>Likelihood      Impact</p> <p>2      x      3</p> <p><b>Medium</b></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: COM04]</p> <p>Public awareness of the Social Care Council.</p> <p>If there is a lack of public awareness of the Social Care Council and its role, then this may lead to incidents not being reported that indicate impaired fitness to practice amongst Domiciliary and Day care workers.</p> <p><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. There may be harm to service users.</li> <li>2. Negative impact on the reputation of the Social Care Council.</li> <li>3. Public confidence in registration may be undermined.</li> <li>4. Service users and carers may not be aware of the Social Care Council's Standards for social work and social care workers.</li> <li>5. Service users and carers are unaware of the role that the Social Care Council performs in protecting the public.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Participation Forum in place with service user and carer involvement which directly influences and impacts on key decision making by the organisation.</p> <p><b>Operational Control</b></p> <p>Action plan in place to support the Participation Forum and its work associated with the provision of support, information and awareness for users and carers.</p> <p>Professional adviser in place to support the Participation Forum and its members.</p>	Rita Lewtas		Communications Strategy to be finalised to increase awareness needs.			<p><b>Inherent</b></p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p><b>Medium</b></p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed:</p>								<p><b>Residual</b></p> <p>6</p> <p>Likelihood 3 x Impact 2</p> <p><b>Low</b></p>
								<p><b>Target</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></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><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Failing practice will not be brought to the attention of the Social Care Council.</li> <li>2. Service users/public will not know how to report care issues to the Social Care Council.</li> <li>3. Sector will not fully understand their roles and responsibilities due to lack of engagement and promotion.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Monthly business performance reports produced.</p> <p>Digital Media Strategy is in place.</p> <p><b>Operational Control</b></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><b>Inherent</b></p> <p>8</p> <p>Likelihood 2 x Impact 4</p> <p><b>High</b></p> </div> <div> <p><b>Residual</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></p> </div> <div> <p><b>Target</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></p> </div>
<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: COR17]</p> <p>IT Devices/Resources</p> <p>If the Database Team cannot resource technology for teams to manage the growth/current business, then the lack of resources in key areas could impact on the ability to deliver any service.</p> <p><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Inability to meet KPI's</li> <li>2. Reputational damage and criticism of the function/organisation internally and public facing.</li> <li>3. Delays in investigating/resolving issues, negatively impacting other teams' ability to maintain high standards.</li> <li>4. Delay in standard functions of the business</li> <li>5. No devices for new starts / ability to swap devices in case of poor performance</li> </ol>	<p><b>Operational Control</b></p> <p>Team trained to deploy devices on arrival</p> <p>Workload reviewed to see who needs mobile devices / business critical</p>	Gareth Elder		No gaps in assurance at April 2020.			<div> <p><b>Inherent</b></p> <p>6</p> <p>Likelihood      Impact</p> <p>2      x      3</p> <p><b>Medium</b></p> </div> <div> <p><b>Residual</b></p> <p>4</p> <p>Likelihood      Impact</p> <p>2      x      2</p> <p><b>Low</b></p> </div> <div> <p><b>Target</b></p> <p>4</p> <p>Likelihood      Impact</p> <p>2      x      2</p> <p><b>Low</b></p> </div>
<p>Risk Opened: 3rd Dec 2019</p> <p>Created by: Gareth Elder</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><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>Unnecessary delays in filling vacancies which will cause pressures on teams and/or the ability to deliver business objectives on time.</li> <li>Ineffective processes and systems within BSO to support recruitment may deter candidates from applying and may reflect poorly on the organisation.</li> <li>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.</li> <li>Ineffective recruitment procedures may result in losing good quality candidates who secure other positions due to the lengthy delays to appoint.</li> <li>Lack of a good quality service from BSO Retained Recruitment will cause delays and</li> </ol>	<p><b>Corporate Oversight</b></p> <p>SLA with BSO and Shared Services in place</p> <p><b>Operational Control</b></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 Impact</div> <div>5 x 4</div> <div>Extreme</div>
						Arrange meeting in relation to Retained Recruitment	30th Dec 2022	<div>Residual</div> <div>15</div> <div>Likelihood Impact</div> <div>5 x 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 Impact</div> <div>3 x 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><b>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. KPI's not met and/or business objectives not delivered.</li> <li>2. Errors, oversights and/or delays may occur.</li> <li>3. Non compliance with legislation.</li> <li>4. Reduced assurance regarding the value for money/sustainability of the SLA's in place.</li> <li>5. Unacceptable customer service leading to complaints.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Annual and mid-year review of Shared Service contracts.</p> <p><b>Operational Control</b></p> <p>Regular business meetings are in place in key areas of shared services.</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>	Sandra Stranaghan	<p><b>Internal Audit</b></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><b>Inherent</b></p> <p>6</p> <p>Likelihood      Impact</p> <p>2      x      3</p> <p><b>Medium</b></p>
								<p><b>Residual</b></p> <p>12</p> <p>Likelihood      Impact</p> <p>4      x      3</p> <p><b>Medium</b></p>
								<p><b>Target</b></p> <p>3</p> <p>Likelihood      Impact</p> <p>1      x      3</p> <p><b>Medium</b></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><b>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Non compliance with the statutory duty to break even.</li> <li>2. Loss of reputation and public confidence in the organisation.</li> <li>3. Qualification of accounts.</li> <li>4. Organisational reputation negatively impacted.</li> <li>5. Inability to deliver on the business plan and/or some of the statutory functions.</li> <li>6. Increased absence levels due to lack of resources and negative impact on morale.</li> <li>7. Reduction in the quality of services.</li> </ol>	<p><b>Corporate Oversight</b></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><b>Operational Control</b></p> <p>Delegated budgets across budget holders and kept under review monthly</p>	Declan McAllister	<p><b>Internal Audit</b></p> <p>IA Financial Audit resulted in satisfactory assurance.</p> <p><b>External Assurance</b></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><b>Inherent</b></p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p><b>High</b></p> </div> <div> <p><b>Residual</b></p> <p>10</p> <p>Likelihood 5 x Impact 2</p> <p><b>Medium</b></p> </div> <div> <p><b>Target</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></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
[Ref: COR22]  Office Accommodation Move to James House  If we do not manage the transition to James House well then this will result in a disruption of business and accommodation that does not meet the current and future needs of the business.  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.	Resulting In -  1. Failure to secure value for money resulting in criticism  2. Lack of suitable accommodation  3. Potential health and safety or fire risk  4. Breach of lease (Current premises) or license (new premises)  5. Benefits of agile working not delivered  6. Loss of branding and organisational identity	Operational Control  DLS in BSO engaged  Belfast Optimisation Project Team engaged  Organisation represented on Transition Sub Group and ICT subgroup  Internal working group in place and staff engaged  BSO Estates assistance in place to support transition	Sandra Stranaghan		Delay in project timetable to October 2022 - lease to be agreed	Agree licence for the new premises	31st Mar 2023	Inherent 12 <small>Likelihood 4 x Impact 3</small> Medium
		Agree exit terms and dilapidation costs for current premises				31st Oct 2022	Residual 9 <small>Likelihood 3 x Impact 3</small> Medium	
		Agree operating arrangements including facilities management for the new premises				31st Oct 2022	Target 4 <small>Likelihood 2 x Impact 2</small> Low	
		BSO Estate in place with action plan to support the Social Care Council transition to James House				6th Oct 2022		
		Agile Pilot results to help shape Agile Working Policy for James House				5th Oct 2022		
		Deliver Project Plan				25th Jan 2023		
		Secure relevant funding and ICT infrastructure				24th Nov 2022		
Risk Opened: 27th Apr 2021  Created by: Sandra Stranaghan  Reviewed: April 28 2022		Project Plan in place						

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR18]  End of Year Assurance  If the Social Care Council fails to deliver effective assurance across all of its governance, systems and compliance, then the Social Care Council will be in breach of its legal and procedural obligations.  Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.	<b>Resulting In -</b>  1. May result in financial and other penalties 2. Criticism from Internal and External Audit, the DoH and others 3. Harm to individuals from a failure to apply appropriate policies and practices 4. Qualification of Accounts	<b>Corporate Oversight</b>  ARAC have oversight of the end of year assurance  <b>Operational Control</b>  End of Year Assurance Report  SLA's in place with BSO	Sandra Stranaghan	<b>Internal Audit</b>  IA Programme of Audit  IA review of end of year assurance	No gaps in assurance pending delivery of all associated actions.	Terms of Reference for Partnership/Forums to be reviewed	30th Nov 2022	<b>Inherent</b> 9 Likelihood      Impact 3      x      3 <b>Medium</b>
						Review of contracts to be carried out	30th Sep 2022	<b>Residual</b> 9 Likelihood      Impact 3      x      3 <b>Medium</b>
						Workforce/ People Plan for organisation to be initiated	30th Nov 2022	<b>Target</b> 6 Likelihood      Impact 2      x      3 <b>Medium</b>
Risk Opened: 19th Jun 2020  Created by: Sandra Stranaghan  Reviewed: December 30 2021								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR02]</p> <p>Increase in workloads from growth in register.</p> <p>If the growth in the register leads to an increase in workloads and activity across all functions then business performance and delivery of business objectives will be compromised.</p> <p><b>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Reduction in quality service delivery to registrants.</li> <li>2. Loss of reputation and confidence in the Social Care Council.</li> <li>3. Delay in processing business/inability to meet KPI's</li> <li>4. Reduction in quality of services</li> <li>5. Increase in the number of complaints/concerns.</li> <li>6. Legal action due to failure to deliver statutory function effectively.</li> <li>7. Loss of confidence in registration and regulation.</li> <li>8. Poor organizational culture and leadership.</li> <li>9. Breakdown in staff/manager relationships.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Monthly business performance reports reviewed by Senior Leadership Team (SLT).</p> <p><b>Operational Control</b></p> <p>Operational Leadership Team (OLT) continually review resources/pressures across all teams.</p> <p>Evaluation Framework will identify if business activity is producing desired outcomes.</p>	Declan McAllister	<p><b>Internal Audit</b></p> <p>IA audit of Performance Management with satisfactory assurance achieved along with a number of recommendations to complete.</p>	No gaps in assurance identified at April 2020.			<div> <p><b>Inherent</b></p> <p>16</p> <p>Likelihood 4 x Impact 4</p> <p><b>High</b></p> </div> <div> <p><b>Residual</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Target</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></p> </div>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: November 8 2019</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR09]</p> <p>Governance structure and systems.</p> <p>If the Social Care Council does not have the correct governance structure and systems in place to enable it to deliver its statutory and business objectives, then business performance and delivery of objectives will be compromised.</p> <p><b>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>Reduction in the quality of service delivery to registrants.</li> <li>Loss of reputation and confidence in the organisation.</li> <li>Non compliance with statutory duties which may include fines.</li> <li>Unable to meet committee structures and quorum as set out in the MSFM and Standing Orders.</li> <li>Loss of strategic and operational direction for the Social Care Council due to poor governance and control.</li> <li>Loss of confidence in the ability of the organisation to deliver services effectively.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Accountability and Ground Clearing meetings in place with DoH.</p> <p>Key governance documents in place including MSFM, Standing Orders and Standing Financial Instructions.</p> <p>Full quorum of Board members in place.</p> <p>Audit and Risk Assurance Committee and Remuneration Committee in place with agreed ToR.</p>	Declan McAllister	<p><b>Internal Audit</b></p> <p>IA audits of performance, finance, information governance, workforce development and risk management undertaken - all with satisfactory assurance.</p> <p>IA audit of Board Effectiveness carried out with a satisfactory assurance.</p> <p><b>External Assurance</b></p> <p>Report to Those Charged with Governance presented to the Board. Accounts and Annual Report certified and laid in the Assembly.</p>	<p>Reduced Board complement if PAU cannot fill anticipated vacancies due to the Assembly being suspended</p>	<p>All managers to manage risks in line with the new risk management system and ensure all risks are kept up to date.</p> <p>Governance related policies to be reviewed and approved at Board level where appropriate.</p> <p>Delivery of a Board governance manual in line with the regional Board governance directory to include assurance, support and guidance for board members</p> <p>Strategic risks to be reviewed by the Board in line with the new Corporate Strategy</p> <p>Action plan in place to learn lessons from the RQIA review report completed by David Nicholl and Frank Clarke</p> <p>Agreement of a Partnership Agreement with DOH and the Social Care Council to replace the MSFM</p> <p>Impact from reduced Board complement to be highlighted to the DoH</p> <p>A board skills audit to be conducted in line with Department Director to review the skills and identify skills gaps as part of a review of board appointments</p>	<p>26th Oct 2022</p> <p>30th Apr 2023</p> <p>30th Nov 2022</p> <p>30th Nov 2022</p> <p>30th Nov 2022</p> <p>30th Sep 2022</p>	<div> <p><b>Inherent</b></p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p><b>High</b></p> </div> <div> <p><b>Residual</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Target</b></p> <p>1</p> <p>Likelihood 1 x Impact 1</p> <p><b>Low</b></p> </div>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: May 31 2022</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<div>[Ref: COR06]</div> <div>Security including cyber security.</div> <div>If there are inadequate ICT controls in place then information may be compromised due to a cyber security attack on the HSC network or on a supplier or partner organisation resulting in the compromise of the HSC network and systems or the disablement of ICT connections and services to protect the HSC and its data resulting in the ability of the Social Care Council to continue to deliver services to Registrants, compromise or loss of personal and organisational information, and loss of public confidence.</div> <div>Appetite : Averse - Safe. Preference always for options that have a low degree of inherent (unmitigated) risk.</div>	<div>Resulting In -</div> <div>1. Service disruption</div> <div>2. Financial costs.</div> <div>3. Reputational damage to the organisation.</div> <div>4. Personal data lost, damaged or destroyed.</div> <div>5. Breach of GDPR.</div> <div>6. Adverse impact on staff morale.</div> <div>7. Social Care Council becomes risk averse.</div> <div>8. Social media platforms compromised.</div>	<div>Corporate Oversight</div> <div>The Social Care Council Business Continuity Plan</div> <div>Board members and Executives have completed Cybersecurity training through the Leadership Centre</div> <div>Operational Control</div> <div>SLA in place with ITS BSO</div> <div>Staff made aware of personal responsibility re security through regular communications.</div> <div>Staff trained on ICT and Information Security.</div> <div>Representation on the Information Governance Advisory Group (IGAG)</div>	Gareth Elder	<div>Internal Audit</div> <div>IA audits of emergency preparedness and risk management provided satisfactory assurances. Including Governance during COVID.</div> <div>Cybersecurity Satisfactory Assurance Audit completed February 2022</div>	No gaps in assurance identified at April 2020.	<div>ICT Security Policy to be reviewed when the Regional ICT security policies are available</div> <div>Prepare a proposal for the use of F5 security remote access for board members to improve secure communication for members</div> <div>Cyber Security Framework to be developed in partnership with ITS</div>	<div>30th Dec 2022</div> <div>30th Sep 2022</div> <div>29th Dec 2022</div>	<div>Inherent</div> <div>3</div> <div>Likelihood 1 x Impact 3</div> <div>Medium</div> <div>Residual</div> <div>8</div> <div>Likelihood 4 x Impact 2</div> <div>Medium</div> <div>Target</div> <div>3</div> <div>Likelihood 1 x Impact 3</div> <div>Medium</div>
<div>Risk Opened: 30th May 2019</div> <div>Created by: Sandra Stranaghan</div> <div>Reviewed: 10th Aug 2022</div>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR04]</p> <p>Data quality of the Register.</p> <p>If internal system processes and procedures are not for purpose or adhered to then timely and accurate updating of the Register to support reporting and data intelligence profiling will be compromised.</p> <p><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Incorrect contact details on the register which could lead to data breach of personal sensitive data.</li> <li>2. Applicants waiting unduly for confirmation of registration.</li> <li>3. Information being collected that is not required by statute.</li> <li>4. Integrity of the register is called into question.</li> <li>5. Lack of confidence in reporting registrant numbers to funding and other interested stakeholder partners.</li> <li>6. Poor quality of information to inform business performance.</li> <li>7. Loss of reputation in the provision of accurate sector intelligence.</li> </ol>	<p><b>Operational Control</b></p> <p>Data quality checks carried out on a monthly basis by the registration team.</p> <p>User guidance on register management available for all staff. New system fixes being adopted which will create revised processes.</p> <p>Robust internal procedures in place to check the content of each register application submitted.</p> <p>Staff training programme in place to support integrity of the Register.</p>	Gareth Elder	<p><b>Internal Audit</b></p> <p>IA audit of Registration provided a satisfactory assurance.</p> <p>IA audit of Socrates provided a satisfactory assurance.</p>	Report from Data Quality Group to be produced.			<p><b>Inherent</b></p> <p>6</p> <p>Likelihood      Impact</p> <p>3      x      2</p> <p><b>Low</b></p>
								<p><b>Residual</b></p> <p>6</p> <p>Likelihood      Impact</p> <p>3      x      2</p> <p><b>Low</b></p>
								<p><b>Target</b></p> <p>4</p> <p>Likelihood      Impact</p> <p>2      x      2</p> <p><b>Low</b></p>
<p>Risk Opened: 30th 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
[Ref: COR05]  Protection of Information.  If there are inadequate information governance policies and controls in place, then breaches of personal data may increase.  <b>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</b>	<b>Resulting In -</b>  1. Poor compliance with legislation including GDPR. 2. Criticism of the Social Care Council. 3. Notification to the ICO with a possible financial penalty. 4. Potential for litigation from a registrant or other person. 5. Personal sensitive information is lost, stolen or misused. 6. Organisation is charged with maladministration.	<b>Corporate Oversight</b>  Risks identified and escalated appropriately.  SLA in place with IG Shared Services BSO.  IG performance reports produced twice a year.  <b>Operational Control</b>  Information Management policies in place.  IG Shared Services and DPO support business and GDPR action plan in place.  Staff training programme in place.	Sandra Stranaghan	<b>Internal Audit</b>  IA audit of Information Governance provided a satisfactory assurance.	No gaps in assurance identified at April 2021.	IG due diligence exercise to be carried out.	27th Oct 2022	<b>Inherent</b> 9 Likelihood 3 x Impact 3 <b>Medium</b>
						IG related policies and procedures to be reviewed	21st Dec 2022	<b>Residual</b> 6 Likelihood 2 x Impact 3 <b>Medium</b>
						IAO refresher training to be arranged	23rd Dec 2022	<b>Target</b> 6 Likelihood 2 x Impact 3 <b>Medium</b>
Risk Opened: 30th May 2019  Created by: Sandra Stranaghan  Reviewed: December 8 2021								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR12]  Staff engagement with ICT.  If staff do not make best use of ICT to manage and record their availability, then there will be a negative impact on business and governance.  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.	<b>Resulting In -</b>  1. Resources are wasted on diary management and reorganizing meetings. 2. Resources are wasted and can lead to errors/oversights. 3. Poor audit trails and accountability in place. 4. Potential breakdown in positive relationships and good communications. 5. HRPTS is not updated in a timely and/or accurate fashion.	<b>Corporate Oversight</b>  OL/SLT have sent out reminders to staff about the need to ensure diaries are always up to date and accurate.  <b>Operational Control</b>  ICT enabled equipment/software has been provided to all staff.  Fraud awareness training provided to managers.	Sandra Stranaghan	<b>Internal Audit</b>  IA audit of travel with recommendations.	No gaps in assurance identified at April 2021.	Review of ICT skills for all staff to identify gaps	30th Sep 2022	<div> <b>Inherent</b>  8  Likelihood 4 x Impact 2  <b>Medium</b> </div> <div> <b>Residual</b>  6  Likelihood 3 x Impact 2  <b>Low</b> </div> <div> <b>Target</b>  4  Likelihood 2 x Impact 2  <b>Low</b> </div>
Risk Opened: 3rd Jun 2019  Created by: Sandra Stranaghan  Reviewed: December 30 2021								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR07]  Succession Planning.  If there is no clear succession plan in place for key posts, then organisational functions may be compromised.  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.	<b>Resulting In -</b>  1. Skills/knowledge gaps arise. 2. Breakdown in processes and/or quality of service. 3. Loss of service. 4. Staff morale/stress levels negatively impacted.	<b>Corporate Oversight</b>  All managers have a deputy arrangement that can cover in the short term.  <b>Operational Control</b>  Shared learning in place in most functional areas.  Job descriptions in place for all positions.	Sandra Stranaghan		Organisation does not have a Human Resources Strategy in place.	HR BSO and the HSC Leadership Centre are engaged to help develop an HR/People Plan for the organisation	21st Dec 2022	<b>Inherent</b> 12 Likelihood      Impact 4      x      3 <b>Medium</b>
						Skills Gap to be carried out across organisation	30th Dec 2022	<b>Residual</b> 6 Likelihood      Impact 2      x      3 <b>Medium</b>
								<b>Target</b> 2 Likelihood      Impact 1      x      2 <b>Low</b>
Risk Opened: 30th May 2019  Created by: Sandra Stranaghan  Reviewed: December 8 2021								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR19]  Data Breach of Registrants Personal Information  If bulk emails through CRM is not working in a compatible or able way then personal data of registrants may be compromised.  <b>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</b>	<b>Resulting In -</b>  1. May result in a Data Breach 2. May lead to fines from the ICO 3. Reputational damage and loss of trust 4. Time consuming 'manual' workarounds which are inefficient.	<b>Corporate Oversight</b>  DPO in place and SIRO/IAO responsibilities assigned  <b>Operational Control</b>  Policies and procedures in place  IG and ICT training for all staff  SLA with Silverbear in place  Procedures for bulk emails in place	Gareth Elder			SIRO/IAO Refresher training to be organised.  Relevant Policies and Procedures to be reviewed	22nd Feb 2023	<b>Inherent</b> 4 Likelihood    Impact 2    x    2 <b>Low</b>
								<b>Residual</b> 6 Likelihood    Impact 3    x    2 <b>Low</b>
								<b>Target</b> 2 Likelihood    Impact 1    x    2 <b>Low</b>
Risk Opened: 24th Jun 2020  Created by: Sandra Stranaghan  Reviewed: December 30 2021								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR16]  COVID-19 Virus  If we do not plan, manage and maintain operations during an emergency pandemic then delivery of Social Care Council services will be compromised.  <b>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.</b>	<b>Resulting In -</b>  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	<b>Corporate Oversight</b>  Command and Control Team activated  SLT connected to DoH Command and Control arrangements to support the sector  Business Transition plan in place and approved by the Board  Board approved the activation of Phase 2 of the Business Transition Plan  <b>Operational Control</b>  Business priorities reviewed by OLT and mitigating action to support this has been taken  Business Continuity Plan and Strategy updated and in place  Regular communications (internal and external) taking place  FTP have reviewed their business priorities and options for continuity  Registration have reviewed thie business priorities and identified business continuity backup	Declan McAllister		None Identified	Outcome of Agile Working Pilot to be assessed	31st Oct 2022	<div> <b>Inherent</b>  25  Likelihood 5 x Impact 5  <b>Extreme</b> </div> <div> <b>Residual</b>  6  Likelihood 2 x Impact 3  <b>Medium</b> </div> <div> <b>Target</b>  6  Likelihood 2 x Impact 3  <b>Medium</b> </div>
Risk Opened: 13th Mar 2020  Created by: Sandra Stranaghan  Reviewed: 27th Sep 2022	6. A delay in registration of workers supporting the social work and soical 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>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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Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR08]</p> <p>Staff skills and knowledge.</p> <p>If the Social Care Council's staff do not have the right skills and expertise to enable them to do their job to a high quality and deliver the business objectives, then there will be failures in the quality of services and mistakes will occur.</p> <p><b>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Fines due to mistakes/errors.</li> <li>2. Fines due to poor quality data.</li> <li>3. Criticism/complaints from registrants, public and others.</li> <li>4. Staff morale/attendance levels will be poor.</li> <li>5. Reputation will be poor.</li> <li>6. Unable to successfully deliver the outcomes of the Corporate/Business Plan.</li> <li>7. Loss of IIP accreditation</li> <li>8. Loss of confidence/trust from those who use our services.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Annual HR report produced.</p> <p><b>Operational Control</b></p> <p>Training needs regularly identified and reviewed.</p> <p>SLA with the HSC Leadership Centre in place.</p> <p>Lessons learnt from complaints/feedback shared with staff.</p> <p>Range of HR policies and procedures in place to support staff and managers.</p>	Sandra Stranaghan	<p><b>External Assurance</b></p> <p>Social Care Council is an accredited IIP (Gold) employer.</p> <p>IIP Report - Gold Status</p>	<p>No gaps in assurance at December 2021.</p>	<p>Recommendations arising from the IIP assessment to be implemented.</p>	29th Dec 2022	<p><b>Inherent</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p>
						<p>Review of Quarterly Check ins to be carried out to ensure it remains fit for purpose</p>	20th Oct 2022	<p><b>Residual</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></p>
								<p><b>Target</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></p>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: December 8 2021</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR03]</p> <p>Socrates Registration system.</p> <p>If the Socrates Registration system is not meeting full operational needs and registrants' expectations, then an inaccurate register of social work and social care workers will result.</p> <p><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Complaints regarding accessibility of the system and/or ease of use.</li> <li>2. Inability to produce information management data.</li> <li>3. Registrants disengaging with the system.</li> <li>4. Public Facing Register (PFR) is not updated in a timely manner leading to issues re system integrity.</li> <li>5. Fees not generated correctly leading to inaccurate income forecasting.</li> <li>6. Registrants may be working without being registered.</li> <li>7. Poor service delivery.</li> <li>8. Potential lack of compliance with the Standards.</li> <li>9. Adverse reputational impact for the organisation.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>KPI's monitored and presented to SLT on a monthly basis, including business reports and risks.</p> <p><b>Operational Control</b></p> <p>Bespoke changes procured for the system.</p> <p>Rackspace contract entered into.</p>	Gareth Elder		No gaps in assurance identified at April 2020	<p>Ongoing liaison with Silverbear and ITS in BSO</p> <p>Scope potential for upgrades to programme during the year.</p>	1st Nov 2022	<div> <b>Inherent</b>  6  Likelihood Impact  3 x 2  <b>Low</b> </div> <div> <b>Residual</b>  4  Likelihood Impact  2 x 2  <b>Low</b> </div> <div> <b>Target</b>  2  Likelihood Impact  1 x 2  <b>Low</b> </div>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: May 30 2019</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR13]</p> <p>Changes at Board/Senior level.</p> <p>If changes at Board, SLT and/or OLT level are not managed effectively then disruption to the organisation will occur along with a loss of knowledge/skills.</p> <p><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Reduction in quality of service delivery.</li> <li>2. Negative impact on the reputation of the organisation.</li> <li>3. Loss of experience.</li> <li>4. Disruption to services.</li> <li>5. Change in culture which may be negative.</li> <li>6. Change over may lead to backlogs/work not being addressed in a timely manner.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Public Appointments Unit manage Board appointments.</p> <p>Interim arrangements at SLT and OLT level in place.</p> <p>Chair and deputy chair roles in place at Board and Partnership level.</p>	Declan McAllister	<p><b>Internal Audit</b></p> <p>IA audit of Board Effectiveness gave a satisfactory assurance.</p>	Outcome of Landscape Review not yet finalised.			<p><b>Inherent</b></p> <p>9</p> <p>Likelihood      Impact</p> <p>3      x      3</p> <p><b>Medium</b></p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: June 3 2019</p>								<p><b>Residual</b></p> <p>4</p> <p>Likelihood      Impact</p> <p>2      x      2</p> <p><b>Low</b></p>
								<p><b>Target</b></p> <p>4</p> <p>Likelihood      Impact</p> <p>2      x      2</p> <p><b>Low</b></p>

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR14]</p> <p>Resourcing of Database Team.</p> <p>If the Database Team is not resourced to manage the growth in business, then the lack of resources and knowledge in key areas could impact on the ability to deliver an efficient service.</p> <p><b>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.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. Inability to meet KPI's.</li> <li>2. Reputational damage and criticism of the function/organisation internally and public facing.</li> <li>3. Reduction in staff morale/motivation leading to errors</li> <li>4. Increase in sickness levels and/or staff turnover.</li> <li>5. Delays in investigating/resolving issues, negatively impacting other teams' ability to maintain high standards.</li> <li>6. Delay in reporting and providing statistical information requests.</li> <li>7. Inability to review development work and make improvements to the system.</li> <li>8. Reputational Damage</li> <li>9. No new reports developed</li> <li>10. Longer timeframes for reporting statistical information</li> </ol>	<p><b>Corporate Oversight</b></p> <p>KPI's and workload reviewed every month.</p> <p><b>Operational Control</b></p> <p>Database team trained to high standard on Socrates.</p> <p>Database processes reviewed regularly to ensure they remain efficient and appropriate.</p> <p>Monthly report to SLT</p>	Gareth Elder		No gaps in assurance identified at April 2020.			<div> <b>Inherent</b>  4  Likelihood    Impact  2    x    2  <b>Low</b> </div> <div> <b>Residual</b>  4  Likelihood    Impact  2    x    2  <b>Low</b> </div> <div> <b>Target</b>  4  Likelihood    Impact  2    x    2  <b>Low</b> </div>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: December 3 2019</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR10]</p> <p>Staff health and wellbeing.</p> <p>If staff suffer stress and/or operate in an environment that contributes to poor health, then their health and wellbeing will be negatively impacted.</p> <p><b>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</b></p>	<p><b>Resulting In -</b></p> <ol style="list-style-type: none"> <li>1. KPI's and business objectives not met leading to criticism.</li> <li>2. Increased staff turnover.</li> <li>3. Reduction in productivity levels.</li> <li>4. Loss of staff morale/motivation.</li> <li>5. Increase in work related stress.</li> <li>6. Poor management/trade union relationships</li> <li>7. Mistakes/errors due to work pressure/dissatisfaction and engagement by staff.</li> </ol>	<p><b>Corporate Oversight</b></p> <p>Sickness absences monitored every month.</p> <p><b>Operational Control</b></p> <p>Health and Wellbeing Plan developed</p> <p>Managers supported in managing sickness levels.</p> <p>Contract in place with Inspire Health and Wellbeing.</p> <p>SLA in place with BSO HR.</p> <p>Attendance management policy and procedure in place.</p>	Sandra Stranaghan	<p><b>External Assurance</b></p> <p>Social Care Council was awarded the Health and Wellbeing Award by IIP.</p>	No gaps in assurance identified at April 2021.	<p>Actions arising from IIP assessment to be implemented.</p>	30th Mar 2023	<div> <p><b>Inherent</b></p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p><b>Medium</b></p> </div> <div> <p><b>Residual</b></p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p><b>Low</b></p> </div> <div> <p><b>Target</b></p> <p>2</p> <p>Likelihood 1 x Impact 2</p> <p><b>Low</b></p> </div>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: December 30 2021</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR20]  Recovery of Deferred fee income  If the total amount of fee income deferred between April and September 2020 is not recovered then the Social Care Council ability to breakeven will be in jeopardy  <b>Appetite : Averse - Safe. Preference always for options that have a low degree of inherent (unmitigated) risk.</b>	<b>Resulting In -</b>  1. Reduction in Capacity to deliver Objectives and maintain Statutory duties 2. Qualification of annual accounts 3. Impact on Reputation of the Organisation	<b>Corporate Oversight</b>  Project group in place which will over see recommencement of fee collection  <b>Operational Control</b>  Registration System provides details of all those due to pay a fee and automatically provides alerts and ability to pay fee on line	Declan McAllister					<b>Inherent</b> 20 Likelihood 5 x Impact 4 <b>Extreme</b>
Risk Opened: 22nd Jul 2020  Created by: Declan McAllister  Reviewed: November 26 2021								<b>Residual</b> 2 Likelihood 2 x Impact 1 <b>Low</b>
								<b>Target</b> 3 Likelihood 3 x Impact 1 <b>Low</b>

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR15]  Rackspace/Silverbear Invoices.  If there is a failure to pay invoices for Rackspace/Silverbear then this could result in the termination of registration services.  Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.	<b>Resulting In -</b>  1. Disruption to registration services. 2. Negative impact on the Social Care Council as a regulator. 3. Server will be inaccessible. 4. Portal will be unavailable to stakeholders. 5. CRM will be unavailable to stakeholders.	<b>Corporate Oversight</b>  Process agreed between all parties.	Gareth Elder		No gaps in assurance identified at April 2020.			<b>Inherent</b> 4 Likelihood      Impact 2      x      2 Low
								<b>Residual</b> 2 Likelihood      Impact 1      x      2 Low
								<b>Target</b> 1 Likelihood      Impact 1      x      1 Low
Risk Opened: 3rd Jun 2019  Created by: Sandra Stranaghan  Reviewed: June 3 2019								

