

Strategic Theme 1: Deliver Effective Regulation

Social Work and Social Care registrants use the standards of conduct and practice, service users and carers have confidence in the workforce and employers support the workforce through the Employer Standards

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 resourcing</p> <p>If the Fitness to Practise function is not appropriately resourced to meet the demands of delivering a high quality regulatory function, this may result in effective and timely action not being taken against registrants who fail to meet the Standards with public trust, safety and confidence being compromised.</p> <p>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p> <p>Risk Opened: 28th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 29th Jan 2024</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Risk to public safety for service users. 2. Failure to meet legal requirements. 3. Failure to report due to lack of trust. 4. Reduction in the level of quality of our processes and services. 5. Failure to investigate allegations in a timely and effective manner. 6. Reduction in staff morale/commitment leading to potential errors. 7. Reputational damage to the Organisation and wider implications for the Department of Health Public Protection System 8. Increased sickness absence in the FTP team 	<p>Corporate Oversight</p> <p>KPI's and business volumes reviewed every month.</p> <p>Green</p> <hr/> <p>Lessons learned from FTP informs engagement agenda.</p> <p>Green</p> <hr/> <p>Quarterly detailed FTP report developed and submitted to SLT for review.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>FTP Officers trained and accredited.</p> <p>Green</p> <hr/>	Helen McVicker	<p>Internal Audit</p> <p>IA audit of FTP.</p> <p>Green</p> <p>External Assurance</p> <p>Field Fisher Audit of FTP.</p> <p>Green</p>	<p>A Field Fisher external assurance report is due - this will provide further assurance on the FTP function however this is dependent on funding.</p>	<p>Upstreaming approach to business to be implemented.</p> <p>Review of FTP resources</p> <p>New Case management system for FTP to be implemented</p> <p>KPI's (and tolerance levels) to be reviewed to ensure these support effective business performance reporting.</p> <p>Resources to support the implementation of the new Case Management System to be identified.</p> <p>Review of current and projected future FTP and Committee workloads against existing resources.</p>	<p>30th Sep 2024</p> <p>30th Aug 2024</p> <p>30th Apr 2024</p> <p>30th Apr 2024</p> <p>30th Apr 2024</p> <p>31st May 2024</p>	<p>Inherent</p> <p>8</p> <p>Likelihood 2 x Impact 4</p> <p>High</p> <p>Residual</p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p>High</p> <p>Target</p> <p>8</p> <p>Likelihood 2 x Impact 4</p> <p>High</p>

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 effectively engage with registrants and promote 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 and those who use services.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Service users get a service that does not meet standards of conduct and practice 2. Registrants do not understand or value being a regulated profession/ workforce 3. Registrants and employers disengage with us and their registration obligations. 4. Registrants do not value being a regulated profession. 5. Registrants might not engage with us on the wider agenda and sharing of best practice. 	<p>Corporate Oversight</p> <p>Monthly business performance reports produced.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Engagement with registrants and employers takes place.</p> <p>Green</p> <hr/> <p>Sharing of personal experiences and stories to better connect with the workforce.</p> <p>Green</p> <hr/> <p>Appointment of Social Work and Social Care Ambassadors.</p> <p>Green</p> <hr/>	Rita McCullagh	<p>Internal Audit</p> <p>Satisfactory assurance audit on service users and Carers completed by Internal Audit</p> <p>Green</p> <p>External Assurance</p> <p>Informal social research - Our engagement, is your engagement - benchmarking through survey and focus groups with registrants - run every two years</p> <p>Green</p>	No gaps in assurance at September 2023.	<p>Engagement programme to be delivered.</p> <p>Engagement strategy to be created and implemented by end of 2024.</p>	<p>28th Jun 2024</p> <p>31st Dec 2024</p>	<p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p> <hr/> <p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p> <hr/> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 28th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 6th Jun 2023</p>								

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 are 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>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The protection of the public from untoward registrants will be reduced 2. The integrity of the register will be called into question 3. The Social Care Council reputation will be impacted 		Caroline Cumberland			Updating of Registration Rules on definitions of lapsed and change of terms for fees to be completed	30th Apr 2024	<div> Inherent 9 Likelihood Impact 3 x 3 Medium </div> <div> Residual 9 Likelihood Impact 3 x 3 Medium </div> <div> Target 3 Likelihood Impact 1 x 3 Medium </div>
<p>Risk Opened: 21st Dec 2020</p> <p>Created by: Declan McAllister</p> <p>Reviewed: 11th Jan 2024</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<div>[Ref: STN02]</div> <div>Maintaining Registration for Social Work and Social Care Workers</div> <div>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 measurers</div> <div>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</div>	<div>Resulting In -</div> <div><div>1. People working in the social work and social care sectors without the legal right to do so.</div><div>2. Lack of public confidence and reputation of the Social Care Council as a regulator.</div><div>3. Negative impact on workforce planning arising from staff being removed from the register.</div><div>4. Employers coming under enforcement action by RQIA for employing unregistered workers</div><div>5. A register that is not fit for purpose to support regulation policy</div></div>	<div>Corporate Oversight</div> <div>Monthly business performance reports and monitoring registration dashboards in place along with daily intelligence on resource capacity, workload and throughput</div> <div>Amber</div> <div>Monthly Review of Progress on Maintaining Registration by the Social Care Council Board</div> <div>Green</div> <div>Operational Control</div> <div>Engagement with registrants and employers.</div> <div>Green</div> <div>Social media programme to promote the value and importance of maintaining registration.</div> <div>Green</div> <div>Daily engagement with the registration team leaders and adviser team on activity, pressures and resources</div> <div>Green</div>	<div>Ruth Hutchison</div>	<div>Internal Audit</div> <div>IA audit of Registration.</div> <div>Green</div>	<div>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</div>	<div>Introduction of Digital Identity</div> <div>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</div> <div>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</div>	<div>2nd Jan 2025</div> <div>31st May 2024</div> <div>19th Sep 2024</div>	<div>Inherent</div> <div>15</div> <div>Likelihood 5 x Impact 3</div> <div>High</div> <div>Residual</div> <div>9</div> <div>Likelihood 3 x Impact 3</div> <div>Medium</div> <div>Target</div> <div>6</div> <div>Likelihood 2 x Impact 3</div> <div>Medium</div>
<div>Risk Opened: 28th May 2019</div> <div>Created by: Sandra Stranaghan</div> <div>Reviewed: January 11 2022</div>								

		<p>Return to normal registration business action plan in place</p> <p>Green</p>				<p>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</p> <p>30th Jun 2024</p>	
		<p>Employer Portal deployed to enable all employers have visibility of their registered workforce</p> <p>Green</p>				<p>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</p> <p>31st Jul 2024</p>	
		<p>Fee Reminder, Re-registration and Removals dashboard to provide intelligence monitoring</p> <p>Green</p>					

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>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Reduction in quality service delivery to registrants. 2. Loss of reputation and confidence in the Social Care Council. 3. Delay in processing business/inability to meet KPI's 4. Reduction in quality of services 5. Increase in the number of complaints/concerns. 6. Legal action due to failure to deliver statutory function effectively. 7. Loss of confidence in registration and regulation. 8. Poor organizational culture and leadership. 9. Breakdown in staff/manager relationships. 	<p>Corporate Oversight</p> <p>Monthly business performance reports reviewed by Senior Leadership Team (SLT).</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Operational Leadership Team (OLT) continually review resources/pressures across all teams.</p> <p>Green</p> <hr/> <p>Evaluation Framework will identify if business activity is producing desired outcomes.</p> <p>Green</p> <hr/>	Ruth Hutchison	<p>Internal Audit</p> <p>IA audit of Performance Management with satisfactory assurance achieved along with a number of recommendations to complete.</p> <p>Green</p>	No gaps in assurance identified at April 2020.			<p>Inherent</p> <p>16</p> <p>Likelihood 4 x Impact 4</p> <p>High</p>
								<p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
								<p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 12th May 2023</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR21] EU Exit Impact 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 Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.	Resulting In - 1. The Council may be impacting on diversity of the Social Work workforce 2. There may be Social Workers practicing in Northern Ireland who are not registered 3. The reputation of the Council could be impacted 4. The Council may not be compliant with MPRQ regulations	Corporate Oversight Director of Registration and Corporate Services is the representative on the DOH EU Exit forum <div>Green</div>	Declan McAllister			Rewrite internal documents regarding Registration Work instructions to support the new IQSW form	30th Jun 2024	<div>Inherent</div> <div>Likelihood 3 x Impact 3</div> <div>Medium</div>
		Direct connections with BEIS in place who are responsible for managing EU Exit and workforce/qualifications <div>Green</div>				Action needed re dual registration requirements for NI/ROI & 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	16th Jan 2025	<div>Residual</div> <div>Likelihood 3 x Impact 3</div> <div>Medium</div>
		Operational Control 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. <div>Green</div>				Belfast Trust to support compensatory measures practice for IQSW social workers with a final process to be agreed which would cover all HSC trusts. Compensation measures in progress.	28th Jun 2024	<div>Target</div> <div>Likelihood 1 x Impact 1</div> <div>Low</div>
		DHSC UK has shared guidance for regulators on the recognition of professional qualifications to assist in designing internal processes and systems to meet the Professional Qualifications and Services (Amendments and Miscellaneous Provisions) (EU Exit) Regulations 2020						

Risk Opened: 7th Dec 2020

Created by: Declan McAllister

Reviewed: 29th Sep 2023

Green

EU Exit Impact Group set up in the Social Care Council which meets every 2 months to review progress on IQSW, Dual Registration, CPD Compliance and Inter Regulator Consistency

Green

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>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Complaints regarding accessibility of the system and/or ease of use. 2. Inability to produce information management data. 3. Registrants disengaging with the system. 4. Public Facing Register (PFR) is not updated in a timely manner leading to issues re system integrity. 5. Fees not generated correctly leading to inaccurate income forecasting. 6. Registrants may be working without being registered. 7. Poor service delivery. 8. Potential lack of compliance with the Standards. 9. Adverse reputational impact for the organisation. 	<p>Corporate Oversight</p> <p>KPI's monitored and presented to SLT on a monthly basis, including business reports and risks.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Bespoke changes procured for the system.</p> <p>Green</p> <hr/> <p>Rackspace contract entered into.</p> <p>Green</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>	31st Jul 2024	<div> <p>Inherent</p> <p>3</p> <p>Likelihood Impact</p> <p>1 x 3</p> <p>Medium</p> </div> <div> <p>Residual</p> <p>8</p> <p>Likelihood Impact</p> <p>4 x 2</p> <p>Medium</p> </div> <div> <p>Target</p> <p>2</p> <p>Likelihood Impact</p> <p>1 x 2</p> <p>Low</p> </div>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 22nd Mar 2024</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: STN04]</p> <p>Maintaining Registration for Social Work Students</p> <p>If social work students fail to maintain their registration during their social work degree course then they are unable to continue with their study, go out on placement and sit their final social work exams.</p> <p>Appetite : Averse - Safe. Preference always for options that have a low degree of inherent (unmitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. A reduction in newly qualified social workers 2. An increase in employer risk with respect to student social worker placements 3. An increased risk to protection of the public 4. Non-registered students bringing the social work degree into disrepute 5. University Student Pass lists not aligned to the Official Student Social Work Register 	<p>Operational Control</p> <p>University Date of Commencement Social Work Student list issued by the Universities to the Social Care Council</p> <p>Green</p>	Ruth Hutchison			<p>Student Registration Online Engagement Event to be set up to support the maintenance of student registration, accountability and communication arrangements and portal management actions, activity and reporting</p>	5th Mar 2025	<div> Residual 6 Likelihood 2 x Impact 3 Medium </div> <div> Target 2 Likelihood 1 x Impact 2 Low </div>
		<p>Professional Advisor provides induction to each new intake of Social Work students on an annual basis as each University and FE College where the importance of maintaining registration is shared.</p> <p>Green</p>				<p>Portal access to be set up for University leads showing all social work students registration status and information similar to an employer portal account</p>	31st Jul 2024	
		<p>Socrates Registration system in place to monitor student applications, registrations and fee payments</p> <p>Green</p>				<p>Conduct a review of the Employer Portal guidance to include University oversight and prepare guidance for presentation at the online engagement event. This is dependent on system changes to allow university representatives viewability of student registrant details via the employer portal which Database Team are working on.</p>	30th Jun 2024	
		<p>Programme provider and registration controls in place to monitor student registration compliance</p> <p>Green</p>				<p>Review automated communications that are issued to students as part of the registration process to ensure that messages linked to maintaining registration are strong and that FTP, placement, course and qualification implications are also included.</p>	30th Jun 2024	

Risk Opened: 7th Nov 2023

Created by: Declan McAllister

Reviewed: 30th Jan 2024

Complete a review of the University endorsers list to ensure it is up to date and accounts linked to On Line Employer portal access for real time oversight of student registration status

31st May 2024

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>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> Poor delivery of high quality care to citizens. Care is not delivered to required standards. Increase in referrals to FTP. 	<p>Operational Control</p> <p>Programme of engagement has taken place,</p> <p>Green</p>	Catherine Maguire		No gaps in assurance identified at April 2020.			<p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
		<p>Standards produced in a range of formats amd made available.</p> <p>Green</p>						<p>Residual</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: May 30 2019</p>								<p>Target</p> <p>3</p> <p>Likelihood 1 x Impact 3</p> <p>Medium</p>

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: 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>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Lack of engagement with fitness to practise processes 2. Potential appeal and JR of decisions. 3. Public confidence in regulatory function is compromised. 	<p>Corporate Oversight</p> <p>Robust internal and external audit processes in place.</p> <p>Green</p>	<p>Helen McVicker</p>	<p>Internal Audit</p> <p>IA audit of FTP in November 2019 provided satisfactory assurance.</p> <p>Green</p> <p>Internal organisational audit of FTP performance undertaken against Professional Standards Authority Performance Framework</p> <p>Green</p>	<p>No gaps in assurance identified at April 2020.</p>			<p>Inherent</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: 11th Jan 2024</p>								<p>Residual</p> <p>6</p> <p>Likelihood Impact</p> <p>2 x 3</p> <p>Medium</p>
								<p>Target</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: 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>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Registrants being removed from the register. 2. Reduction in the quality of service delivered to service users. 3. Employers do not fully engage with the Social Care Council. 4. The benefits of social care regulation are not understood or supported in the sector. 5. Social care workforce start to disengage from the Social Care Council and the Standards. 6. Workforce destabilised as people are removed from the register due to failure to renew. 	<p>Corporate Oversight</p> <p>Council has a corporate commitment to support social care regulation and systems leadership.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Social Care Council is an active participant in relative forums.</p> <p>Green</p> <hr/>	Catherine Maguire	<p>Internal Audit</p> <p>IA audit of FTP provided a satisfactory assurance.</p> <p>Green</p>	No gaps identified at April 2020.			<div> Inherent 12 Likelihood Impact 4 x 3 Medium </div> <div> Residual 6 Likelihood Impact 2 x 3 Medium </div> <div> Target 4 Likelihood Impact 2 x 2 Low </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: 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>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Incorrect contact details on the register which could lead to data breach of personal sensitive data. 2. Applicants waiting unduly for confirmation of registration. 3. Information being collected that is not required by statute. 4. Integrity of the register is called into question. 5. Lack of confidence in reporting registrant numbers to funding and other interested stakeholder partners. 6. Poor quality of information to inform business performance. 7. Loss of reputation in the provision of accurate sector intelligence. 	<p>Operational Control</p> <p>Data quality checks carried out on a monthly basis by the registration team.</p> <p>Green</p> <hr/> <p>User guidance on register management available for all staff. New system fixes being adopted which will create revised processes.</p> <p>Green</p> <hr/> <p>Robust internal procedures in place to check the content of each register application submitted.</p> <p>Amber</p> <hr/> <p>Staff training programme in place to support integrity of the Register.</p> <p>Green</p> <hr/>	<p>Andre McKeown</p>	<p>Internal Audit</p> <p>IA audit of Registration provided a satisfactory assurance.</p> <p>Green</p> <hr/> <p>IA audit of Socrates provided a satisfactory assurance.</p> <p>Green</p> <hr/>	<p>Report from Data Quality Group to be produced.</p>			<p>Inherent</p> <p>6</p> <p>Likelihood 3 x Impact 2</p> <p>Low</p>
								<p>Residual</p> <p>6</p> <p>Likelihood 3 x Impact 2</p> <p>Low</p>
								<p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 11th Jan 2024</p>								

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.	Resulting In - 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.	Corporate Oversight Process agreed between all parties. <div>Green</div>	Gareth Elder		No gaps in assurance identified at September 23			Inherent 4 Likelihood Impact 2 x 2 Low
								Residual 2 Likelihood Impact 1 x 2 Low
								Target 1 Likelihood Impact 1 x 1 Low
Risk Opened: 3rd Jun 2019 Created by: Sandra Stranaghan Reviewed: June 3 2019								

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>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> Potential for inconsistent decision making. Potential for poor time management due to inexperience with associated financial impact. Members unable to fully apply training due to delays between training and opportunities to put it into practice. Public protection 	<p>Operational Control</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>Green</p>	Caroline Cumberland	<p>External Assurance</p> <p>Legal advice obtained on re-appointments process.</p> <p>Green</p>	No gaps in assurance identified at April 2020.	Field Fisher conducting an independent audit of FTP decisions.	30th Jun 2024	<p>Inherent</p> <p>2</p> <p>Likelihood Impact</p> <p>1 x 2</p> <p>Low</p>
		<p>Learning materials forwarded to members on a regular basis.</p> <p>Green</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>Green</p>				<p>Residual</p> <p>2</p> <p>Likelihood Impact</p> <p>1 x 2</p> <p>Low</p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: October 12 2020</p>								<p>Target</p> <p>2</p> <p>Likelihood Impact</p> <p>1 x 2</p> <p>Low</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>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Negative impact on reputation. 2. Potential for litigation. 3. Perceived unfairness around re-appointment and termination. 4. Poor decision-making. 5. Negative impact on public protection. 6. Loss of confidence / trust from stakeholders, including the public. 	<p>Operational Control</p> <p>Governance Framework to include proposal to establish Appointments Board.</p> <p>Green</p> <hr/> <p>360 online tool developed and implemented to assess chairs and committee members throughout the year.</p> <p>Green</p> <hr/>	Caroline Cumberland	<p>External Assurance</p> <p>Legal advice obtained around re-appointment process.</p> <p>Green</p>	No gaps in assurance identified at April 2020.			<p>Inherent</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p> <hr/> <p>Residual</p> <p>1</p> <p>Likelihood 1 x Impact 1</p> <p>Low</p> <hr/> <p>Target</p> <p>1</p> <p>Likelihood 1 x Impact 1</p> <p>Low</p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: April 28 2022</p>								

Strategic Theme 2: Develop the capability of the workforce

Career choices for social care are supported, social workers increase engagement with PiP, leadership capability is embedded social work education and the workforce are supported to work with people from various cultural backgrounds

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: WFD01]</p> <p>Resourcing the development of the social care workforce.</p> <p>If there is a lack of financial support for resourcing the development of the social care workforce and/or development of policy direction for the workforce then social care practice may be compromised</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Lack of funding in the sector will mean the sector is not able to fully avail of training opportunities. 2. Lack of a skilled, capable and developed workforce will place service users at risk of harm from poor practice. 3. Lack of a policy to support social care will mean the sector is not sufficiently supported. 	<p>Operational Control</p> <p>Working relationships with registrants and employers to ensure engagement informs our priorities to support the social care workforce.</p> <p>Green</p> <hr/> <p>Use of digital communication methods and platforms available.</p> <p>Green</p> <hr/> <p>Learning and development e-platforms to access training are in place.</p> <p>Green</p> <hr/> <p>Leaders in Social Care Partnership has agreed a programme of work that will support and influence policy development.</p> <p>Green</p> <hr/> <p>Leaders in Social Care Partnership have developed a work plan that focuses on the workforce,</p>	Catherine Maguire	<p>Internal Audit</p> <p>IA audit of Workforce Development Completed 2021</p> <p>Green</p>	<p>Social Care Policy is not in place to influence the leadership agenda - in particular following the impact of COVID-19 and the demands on the social care sector.</p>	<p>Continued engagement DoH, stakeholders and influencers across the sector.</p> <p>Leadership agenda to be promoted and engaged in.</p> <p>Deliver the Work Programme developed by the Leaders in Social Care Partnership</p> <p>Continue to promote resources for the sector</p>	<p>30th Apr 2024</p> <p>28th Jun 2024</p> <p>1st May 2024</p> <p>28th Jun 2024</p>	<p>Inherent</p> <p>16</p> <p>Likelihood 4 x Impact 4</p> <p>High</p> <hr/> <p>Residual</p> <p>16</p> <p>Likelihood 4 x Impact 4</p> <p>High</p> <hr/> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>

Risk Opened: 28th May 2019

Created by: Sandra Stranaghan

Reviewed: 27th Sep 2023

communications and data.
Development of social
care work being led under
auspices of DoH
Collaborative Forum and
Children's Services
Strategic Reform Board.

Green

Extended the range of
digital communications to
reach and support the
sector

Green

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 do not deliver on the agreed partnerships and engagements with stakeholders in supporting the development of the social work and social care workforce then social work and social care education and training 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>Green</div> <div>Co Chair of the Social Care Collaborative Forum</div> <div>Green</div> <div>Member of the Social Work Implementation Board (SWIB)</div> <div>Green</div> <div>Operational Control</div> <div>Engagement with registrants and employers takes place.</div> <div>Green</div> <div>Promotion of PiP takes place.</div> <div>Green</div> <div>Extended means to access PiP are available.</div> <div>Green</div>	Catherine Maguire	<div>Internal Audit</div> <div>IA audit of Workforce Development in 2022</div> <div>Green</div>	Social Care agenda needs to be strengthened across the sector.	<div>Need to promote PiP more as part of a targeted campaign.</div> <div>Support the further development of the learning and development agenda for social care.</div> <div>Meeting with Senior Staff in Employing organisations and HEFI's</div>	<div>28th Jun 2024</div> <div>30th Apr 2024</div> <div>19th Jun 2024</div>	<div>Inherent</div> <div>12</div> <div>Likelihood 4 x Impact 3</div> <div>Medium</div> <div>Residual</div> <div>9</div> <div>Likelihood 3 x Impact 3</div> <div>Medium</div> <div>Target</div> <div>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: 6th Jun 2023</div>								

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

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: WFD04]</p> <p>IAR functionality.</p> <p>If the IAR functionality on the system does not work for the assessment point, then this will impact on our relationships with external partners.</p> <p>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. 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. 	<p>Operational Control</p> <p>Guidance made available.</p> <p>Amber</p>	Catherine Maguire		No gaps in assurance at April 2020.			<p>Inherent</p> <p>12</p> <p>Likelihood x Impact</p> <p>4 x 3</p> <p>Medium</p>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: September 11 2019</p>		<p>Groups targeted to make submissions.</p> <p>Green</p> <p>Standarisation events takes place.</p> <p>Green</p> <p>Reporting and monitoring of rates of submission and referral in IAR.</p> <p>Green</p> <p>Priority agreed in relation to functionality of system to support IAR submission and assessment.</p> <p>Green</p>						<p>Residual</p> <p>9</p> <p>Likelihood x Impact</p> <p>3 x 3</p> <p>Medium</p>
								<p>Target</p> <p>6</p> <p>Likelihood x Impact</p> <p>2 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: WFD06]</p> <p>Resourcing of the Workforce Development Team.</p> <p>If the Workforce Development Team is not sufficiently resourced with a sustainable workforce then they will be unable to deliver their business objectives or priorities.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 46% of WFD team on temporary contracts New development and growth in range of business priorities Criticism from failing to meet our statutory obligations. Increase in sick leave - in particular stress related. Negative impact on morale and delivery of our values and culture. Reduction in quality of work and potential errors/oversights. Recruitment and retention is affected Criticism of failure to effectively engage with registrants and their employers Internal Audit recommendation - May 2021 for plan to address adequate staff resource - 	<p>Corporate Oversight</p> <p>Business reports to SLT on a monthly basis.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Operational Plan reviewed on a monthly basis at one to ones and team meetings.</p> <p>Green</p> <hr/> <p>Sessional list now in place.</p> <p>Green</p> <hr/> <p>Fixed term contracts have been extended to June 2024.</p> <p>Amber</p> <hr/>	Catherine Maguire	<p>Internal Audit</p> <p>IA audit of workforce development.</p> <p>Green</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>			<p>Inherent</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
								<p>Residual</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
								<p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 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
<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>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> Poorly trained or not properly trained people are being allowed to practice. Negative impact on the Social Care Council's reputation from IQSW applicant failing to meet Standards. 	<p>Corporate Oversight</p> <p>Five country work active to share learning and improve knowledge.</p> <p>Green</p>	Catherine Maguire		No gaps in assurance as at April 2020.			<p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 11th Jan 2024</p>		<p>Operational Control</p> <p>Robust procedures in place.</p> <p>Green</p>						<p>Residual</p> <p>2</p> <p>Likelihood 1 x Impact 2</p> <p>Low</p>
		<p>Guidance for applicants and Social Care Council staff available.</p> <p>Green</p>						<p>Target</p> <p>2</p> <p>Likelihood 1 x Impact 2</p> <p>Low</p>

Strategic Theme 3: Lead with Influence

workforce data and intelligence improves understanding of the value of the workforce, the contribution of the workforce is recognised, there is greater diversity in the workforce and the workforce is more stable and sustainable.

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: SYS03]</p> <p>Social Work and Social Care Sector Data and Intelligence.</p> <p>If we do not gather and share sufficient sector data and intelligence then the strategic development of the Social Work and Social Care workforce, at a systems level, may be compromised</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The Social Care Council's reputation as a strong voice for the sector will not be utilised and good information management will not be put to effective use. 2. Quality information will not be utilised. 3. Criticism from stakeholders. 	<p>Corporate Oversight</p> <p>Monthly business reports produced.</p> <p>Green</p> <hr/> <p>Register Real Time Dashboard in place to support register trends and analytics</p> <p>Green</p> <hr/> <p>DORCS Co Chairing workstreams under the the Social Care Collaborative Forum and the Social Work Implementation Board on Data and Intelligence</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Data Analyst appointed.</p> <p>Green</p> <hr/> <p>New Socrates system rolled out.</p> <p>Green</p> <hr/> <p>Reports from Socrates being developed.</p> <p>Green</p> <hr/>	<p>Declan McAllister</p>	<p>Internal Audit</p> <p>IA audit of Socrates</p> <p>Green</p> <p>Internal Assurance</p> <p>Daily live dashboard of Registration data, intelligence and position now published</p> <p>Green</p> <p>Monthly Register Report produced with full analysis and intelligence</p> <p>Green</p>	<p>No gaps in assurance as at September 2023.</p>	<p>Pathway to be developed to deliver on sector intelligence.</p> <p>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</p>	<p>25th Dec 2025</p> <p>31st Dec 2024</p>	<div> <div> Inherent 6 Likelihood 3 x Impact 2 Low </div> <div> Residual 8 Likelihood 4 x Impact 2 Medium </div> <div> Target 3 Likelihood 1 x Impact 3 Medium </div> </div>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 29th Sep 2023</p>								

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 resources and capacity to enable us to be a leader at a systems level then the recognition and value of social work and social care will be compromised</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The needs of service users will not be met due to a disparate approach to social care provision. 2. Reputational damage from inability to engage fully in promoting systems leadership. 3. Criticism from stakeholders. 	<p>Corporate Oversight</p> <p>Accountability meetings take place.</p> <p>Green</p>	Marian O'Rourke	<p>External Assurance</p> <p>Social Care Council identified as the lead body in a substantive range of recommendations in the Reform of Adult Social Care consultation</p> <p>Green</p>	1. Capacity requirements to take a lead role to be fully understood and evaluated.	Continue to engage with department and relevant stakeholders.		<p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p>
		<p>Attendance at relevant partnership/stakeholder events and groups takes place.</p> <p>Green</p>						<p>Residual</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 6th Jun 2023</p>				<p>Social Care Council identified as lead body for a number of the workstreams of the Social Work Workforce Implementation Board</p> <p>Green</p>				<p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: 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>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. There may be harm to service users. 2. Negative impact on the reputation of the Social Care Council. 3. Public confidence in registration may be undermined. 4. Service users and carers may not be aware of the Social Care Council's Standards for social work and social care workers. 5. Service users and carers are unaware of the role that the Social Care Council performs in protecting the public. 	<p>Corporate Oversight</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>Green</p> <hr/> <p>Operational Control</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>Green</p> <hr/> <p>Professional adviser in place to support the Participation Forum and its members.</p> <p>Green</p> <hr/>	Rita McCullagh	<p>Internal Assurance</p> <p>Participation Partnership minutes reviewed and approach by the Board</p> <p>Green</p>	Engagement Strategy to be finalised to increase awareness needs.			<p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p> <hr/> <p>Residual</p> <p>6</p> <p>Likelihood 3 x Impact 2</p> <p>Low</p> <hr/> <p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 17th Oct 2023</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COM02]</p> <p>Development of content to support and promote the Social Care Council's role and services</p> <p>If we do not develop accurate content and promote this in the most effective way using a mixture of digital/traditional comms then there may be a lack of awareness of the role and function of the Social Care Council and the services it provides.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Failing practice will not be brought to the attention of the Social Care Council. 2. Service users/public will not know how to report care issues to the Social Care Council. 3. Sector will not fully understand their roles and responsibilities due to lack of engagement and promotion. 	<p>Corporate Oversight</p> <p>Monthly business performance reports produced.</p> <p>Green</p>	Rita McCullagh		No gaps in assurance at April 2021.	Ongoing delivery of communications and engagement activity	28th Jun 2024	<p>Inherent</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
		<p>Digital Media Strategy and Social Media Policy is in place.</p> <p>Amber</p>				Put in place sustainable resources to support the business need and future demand	30th Apr 2024	<p>Residual</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p>
		<p>Operational Control</p> <p>Comms and engagement plans are in place.</p> <p>Green</p>						<p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 17th Oct 2023</p>								

Strategic Theme 4: Innovate and Improve

Stakeholders experience positive engagement, our services fulfil needs, registrants can engage easily with our systems and the Council maximises the use of digital innovation to deliver services.

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COM03]</p> <p>Resourcing of Communication function.</p> <p>If the Communication function is not properly resourced then this may impact on the quality of work , capacity to deliver and/or errors.</p> <p>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Complaints received. 2. Social Care Council integrity compromised. 3. Potential legal action. 4. Complaint to the Information Commissioners Office (ICO). 5. Loss of trust/confidence. 6. Unable to deliver comms/engagement programmes fully. 7. Key messages to registrants and other stakeholders do not issue. 	<p>Corporate Oversight</p> <p>Communications are routinely monitored with daily, weekly, monthly, quarterly and annual activity and reporting.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Staff are trained in their respective roles and functions.</p> <p>Green</p> <hr/> <p>Approved processes in place for communications.</p> <p>Green</p> <hr/> <p>Lessons learned shared with team and others.</p> <p>Green</p> <hr/>	Rita McCullagh			<p>Social media policy for staff to be undertaken.</p> <p>31st Jul 2024</p> <p>Monitor staff workloads and ensure early planning when additional resource is required.</p> <p>31st Jul 2024</p> <p>To review the workload as a result of campaign work or other work undertaken through funding allocations or as requested.</p> <p>31st Jul 2024</p> <p>Band 6 to be appointed to fill Digital Communications Officer vacancy</p> <p>29th Aug 2024</p>		<p>Inherent</p> <p>12</p> <p>Likelihood Impact</p> <p>4 x 3</p> <p>Medium</p> <hr/> <p>Residual</p> <p>12</p> <p>Likelihood Impact</p> <p>4 x 3</p> <p>Medium</p> <hr/> <p>Target</p> <p>9</p> <p>Likelihood Impact</p> <p>3 x 3</p> <p>Medium</p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 17th Oct 2023</p>								

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

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COM01]</p> <p>Capturing the Views of Stakeholders.</p> <p>If we do not empower stakeholders and create opportunities to capture and listen to their views and experiences then this may lead to our Regulatory services not meeting their needs</p> <p>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Lack of awareness of the role and function of the Council. 2. Council business will not meet the needs to service users and carers. 3. Service users and carers will disengage from the Council. 	<p>Corporate Oversight</p> <p>Participation Forum in place.</p> <p>Green</p>	Declan McAllister	<p>External Assurance</p> <p>Benchmarking of Participation Best Practice completed by QUB and recommendations implemented via Partnership Terms of Reference</p> <p>Green</p>	While some data is available, full evaluation of impact of service user and carer input is not yet available.			<p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
		<p>Reports from Participation Forum tabled to the meetings of the Board.</p> <p>Green</p>						<p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
		<p>Operational Control</p> <p>Evaluation Framework in place.</p> <p>Green</p>						<p>Target</p> <p>3</p> <p>Likelihood 1 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 6th Jun 2023</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR24] Staff Recruitment If the Social Care Council is unable to recruit the best people in a timely manner then delivery of the objectives in the Strategic Plan will 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.	Resulting In - 1. Unnecessary delays in filling vacancies which will cause pressures on teams and/or the ability to deliver business objectives on time. 2. Ineffective processes and systems within BSO to support recruitment may deter candidates from applying and may reflect poorly on the organisation. 3. 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. 4. Ineffective recruitment procedures may result in losing good quality candidates who secure other positions due to the lengthy delays to appoint. 5. Lack of a good quality service from BSO Retained Recruitment will cause delays and loss of reputation. 6. Lack of a good quality service from BSO Shared Services Recruitment will result in delays and a loss of reputation.	Corporate Oversight SLA with BSO and Shared Services in place <div>Green</div>	Declan McAllister	Internal Assurance IA review and report on retained recruitment and shared services <div>Amber</div> AMICUS has now been put in place for Social Care Council recruiters to oversee the progress of a recruitment requisition <div>Green</div>	No gaps presently identified at September 2023	Follow up actions from meeting with Shared Services - including arranging further meeting and training	30th Jun 2024	<div>Inherent</div> <div> <div>Likelihood</div> <div>5</div> </div> <div> <div>Impact</div> <div>4</div> </div> <div>20</div> <div>Extreme</div>
		Operational Control Processes and Procedures in place in BSO <div>Amber</div>				New HRPTS system called EQUIP - inc. e-rec being designed/developed	17th Sep 2026	<div>Residual</div> <div> <div>Likelihood</div> <div>3</div> </div> <div> <div>Impact</div> <div>3</div> </div> <div>9</div> <div>Medium</div>
		Meeting with Shared Services held with actions agreed at the meeting. <div>Green</div>						<div>Target</div> <div> <div>Likelihood</div> <div>3</div> </div> <div> <div>Impact</div> <div>2</div> </div> <div>6</div> <div>Low</div>
		ALB Forum discuss recruitment related issues <div>Green</div>						
		Recruitment is a standing item on OLT agenda <div>Green</div>						

Risk Opened: 27th Sep 2022
Created by: Sandra Stranaghan
Reviewed: 13th Jul 2023

7. Reputational damage
to the Social Care
Council.

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR18]</p> <p>End of Year Assurance</p> <p>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.</p> <p>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. 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 	<p>Corporate Oversight</p> <p>ARAC have oversight of the end of year assurance</p> <p>Green</p>	Sandra Stranaghan	<p>Internal Audit</p> <p>IA Programme of Audit</p> <p>Green</p>	No gaps in assurance pending delivery of all associated actions.	Workforce/ People Plan for organisation to be initiated	28th Jun 2024	<p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
		<p>Operational Control</p> <p>End of Year Assurance Report</p> <p>Green</p>		<p>IA review of end of year assurance</p> <p>Green</p>				<p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 19th Jun 2020</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: December 30 2021</p>		<p>SLA's in place with BSO</p> <p>Green</p>						<p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: 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>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> Reduction in the quality of service delivery to registrants. Loss of reputation and confidence in the organisation. Non compliance with statutory duties which may include fines. Unable to meet committee structures and quorum as set out in the MSFM and Standing Orders. Loss of strategic and operational direction for the Social Care Council due to poor governance and control. Loss of confidence in the ability of the organisation to deliver services effectively. 	<p>Corporate Oversight</p> <p>Accountability and Ground Clearing meetings in place with DoH.</p> <p>Green</p>	Declan McAllister	<p>Internal Audit</p> <p>IA audits of performance, finance, information governance, workforce development and risk management undertaken - all with satisfactory assurance.</p> <p>Green</p>	Reduced Board complement if PAU cannot fill anticipated vacancies due to the Assembly being suspended	Governance related policies to be reviewed and approved at Board level where appropriate.	30th Sep 2024	<p>Inherent</p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p>High</p>
		<p>Key governance documents in place including MSFM, Standing Orders and Standing Financial Instructions.</p> <p>Green</p>		<p>IA audit of Board Effectiveness carried out with a satisfactory assurance.</p> <p>Green</p>		Delivery of a Board governance manual in line with the regional Board governance directory to include assurance, support and guidance for board members	25th Apr 2024	<p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
		<p>Full quorum of Board members in place.</p> <p>Green</p>		<p>Green</p>				<p>Target</p> <p>1</p> <p>Likelihood 1 x Impact 1</p> <p>Low</p>
		<p>Audit and Risk Assurance Committee and Remuneration Committee in place with agreed ToR.</p> <p>Green</p>		<p>Risk Management Audit 23/24 providing satisfactory assurance on the risk management system in place at the Social Care Council</p> <p>Green</p>				
		<p>Risk management committee in place which meets quarterly to over see and manage the organisation risk register, risk training and support including policy and strategy oversight.</p> <p>Green</p>		<p>External Assurance</p> <p>Report to Those Charged with Governance</p>				

Risk Opened: 30th May 2019

Created by: Sandra Stranaghan

Reviewed: 12th Apr 2024

presented to the Board. Accounts and Annual Report certified and laid in the Assembly.

Green

Board skills and effectiveness independent report completed by David Nicholl and presented to the Board and DOH

Green

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 inadequate funding to deliver innovation and improvement then the Social Care Council's delivery of business objectives and performance may be compromised.</p> <p>Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Non compliance with the statutory duty to break even. 2. Loss of reputation and public confidence in the organisation. 3. Qualification of accounts. 4. Organisational reputation negatively impacted. 5. Inability to deliver on the business plan and/or some of the statutory functions. 6. Increased absence levels due to lack of resources and negative impact on morale. 7. Reduction in the quality of services. 	<p>Corporate Oversight</p> <p>Financial reporting structure in place</p> <p>Green</p> <hr/> <p>Business performance reports reviewed monthly.</p> <p>Green</p> <hr/> <p>Financial monitoring report approved monthly by SLT and quarterly by the Board.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Delegated budgets across budget holders and kept under review monthly</p> <p>Green</p> <hr/>	Declan McAllister	<p>External Assurance</p> <p>Annual accounts certified by the NI Audit Office.</p> <p>Green</p> <p>IA Financial Audit resulted in satisfactory assurance.</p> <p>Green</p> <p>Internal Assurance</p> <p>Monthly Financial Monitoring Return within Breakeven target</p> <p>Green</p> <p>Monthly Financial Management Report</p> <p>Green</p>	A review of budget position to be completed with Sponsor Branch and DOH Finance in October 2023			<p>Inherent</p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p>High</p> <hr/> <p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p> <hr/> <p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p>
<p>Risk Opened: 29th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 12th Apr 2024</p>								

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.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. New Record 2. Periods of absence impact on cover leading to errors, complaints and poor data quality. 3. Staff turnover may increase due to stress. 4. KPI's may not be met leading to criticism. 	<p>Corporate Oversight</p> <p>Staffing review with Director of Registration and Corporate Services carried out.</p> <p>Amber</p> <hr/> <p>Operational Control</p> <p>Training plan in place for registration staff.</p> <p>Amber</p> <hr/>	Ruth Hutchison		No gaps in assurance at May 2023	<p>Fill permanent vacancies on a substantive basis.</p> <p>Deliver the SoS Medical Review recommendations</p>	<p>30th Apr 2024</p> <p>1st Sep 2024</p>	<div> Inherent 6 Likelihood Impact 3 x 2 Low </div> <div> Residual 6 Likelihood Impact 3 x 2 Low </div> <div> Target 2 Likelihood Impact 2 x 1 Low </div>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 24th May 2023</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR12]</p> <p>Staff engagement with ICT.</p> <p>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.</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"> Resources are wasted on diary management and reorganizing meetings. Resources are wasted and can lead to errors/oversights. Poor audit trails and accountability in place. Potential breakdown in positive relationships and good communications. HRPTS is not updated in a timely and/or accurate fashion. 	<p>Corporate Oversight</p> <p>OL/SLT have sent out reminders to staff about the need to ensure diaries are always up to date and accurate.</p> <p>Green</p>	Sandra Stranaghan	<p>Internal Audit</p> <p>IA audit of travel with recommendations.</p> <p>Green</p>	No gaps in assurance identified at April 2021.	Review of ICT skills for all staff to identify gaps	30th Sep 2024	<p>Inherent</p> <p>8</p> <p>Likelihood 4 x Impact 2</p> <p>Medium</p>
<p>Risk Opened: 3rd Jun 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: December 30 2021</p>		<p>Operational Control</p> <p>ICT enabled equipment/software has been provided to all staff.</p> <p>Green</p>						<p>Residual</p> <p>6</p> <p>Likelihood 3 x Impact 2</p> <p>Low</p>
		<p>Fraud awareness training provided to managers.</p> <p>Green</p>						<p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p>

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR05]</p> <p>Information Governance</p> <p>If there are inadequate information governance policies and controls in place, then breaches of personal data may increase.</p> <p>Appetite : Moderate - Balanced. Preference for mostly proven options, while prepared to accept a medium level of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> Poor compliance with legislation including GDPR. Criticism of the Social Care Council. Notification to the ICO with a possible financial penalty. Potential for litigation from a registrant or other person. Personal sensitive information is lost, stolen or misused. Organisation is charged with maladministration. 	<p>Corporate Oversight</p> <p>Risks identified and escalated appropriately.</p> <p>Green</p>	Sandra Stranaghan	<p>Internal Audit</p> <p>IA audit of Information Governance provided a satisfactory assurance.</p> <p>Green</p>	No gaps in assurance identified at April 2021.	IG due diligence exercise to be carried out.	30th Sep 2024	<p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p>
		<p>SLA in place with IG Shared Services BSO.</p> <p>Green</p>						<p>Residual</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
		<p>IG performance reports produced twice a year.</p> <p>Green</p>						<p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: December 8 2021</p>		<p>Operational Control</p> <p>Information Management policies in place.</p> <p>Green</p> <p>IG Shared Services and DPO support business and GDPR action plan in place.</p> <p>Green</p> <p>Staff training programme in place.</p> <p>Green</p>						

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. Appetite : Cautious - Guarded. Preference for safe options that have a low degree of residual (mitigated) risk.	Resulting In - 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.	Corporate Oversight DPO in place and SIRO/IAO responsibilities assigned Green	Gareth Elder			Relevant Policies and Procedures to be reviewed		Inherent 4 Likelihood Impact 2 x 2 Low
Risk Opened: 24th Jun 2020 Created by: Sandra Stranaghan Reviewed: December 30 2021		Operational Control Policies and procedures in place Green						Residual 6 Likelihood Impact 3 x 2 Low
		IG and ICT training for all staff Green						Target 2 Likelihood Impact 1 x 2 Low
		SLA with Silverbear in place Green						
		Procedures for bulk emails in place Green						

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR16]</p> <p>COVID-19 Virus</p> <p>If we do not plan, manage and maintain operations during an emergency pandemic then delivery of Social Care Council services will be compromised.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. The sector may face difficulty in delivering services 2. Staff may face difficulty in delivering services 3. Ability to deliver statutory functions negatively impacted 4. Loss of staff (internal and external) due to sickness and/or caring arrangements 5. Some services/projects may be delayed or not delivered due to allocating resources to front line priorities and activities 6. A delay in registration of workers supporting the social work and 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>Corporate Oversight</p> <p>Command and Control Team activated</p> <p>Green</p> <hr/> <p>SLT connected to DoH Command and Control arrangements to support the sector</p> <p>Green</p> <hr/> <p>Business Transition plan in place and approved by the Board</p> <p>Green</p> <hr/> <p>Board approved the activation of Phase 2 of the Business Transition Plan</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Business priorities reviewed by OLT and mitigating action to support this has been taken</p> <p>Green</p> <hr/> <p>Business Continuity Plan and Strategy updated and in place</p>	Declan McAllister		None Identified			<div> <p>Inherent</p> <p>25</p> <p>Likelihood 5 x Impact 5</p> <p>Extreme</p> </div> <div> <p>Residual</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p> </div> <div> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p> </div>
<p>Risk Opened: 13th Mar 2020</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 10th Jan 2023</p>								

Green

Regular communications
(internal and external)
taking place

Green

FTP have reviewed their
business priorities and
options for continuity

Green

Registration have
reviewed thie business
priorities and identified
business continuity
backup

Green

Socrates made available
to all staff in the Social
Care Council

Green

The Four Country
Regulators are
benchmarking and
collabrating on a joint way
forward in terms of
registration and regulation
duiring the period of
COVID 19

Green

Increased social distancing
measures introduced Nov
2021

Green

		<div>CBLT stood down - as business normalises</div> <div>Green</div>					
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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: COR07]</p> <p>Succession Planning.</p> <p>If there is no clear succession plan in place for key posts, then organisational functions may be compromised.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Skills/knowledge gaps arise. 2. Breakdown in processes and/or quality of service. 3. Loss of service. 4. Staff morale/stress levels negatively impacted. 	<p>Corporate Oversight</p> <p>All managers have a deputy arrangement that can cover in the short term.</p> <p>Green</p>	Sandra Stranaghan		Organisation does not have a Human Resources Strategy in place.	Skills Gap to be carried out across organisation	25th Apr 2024	<p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p>
		<p>Operational Control</p> <p>Shared learning in place in most functional areas.</p> <p>Green</p>						<p>Residual</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p>
<p>Risk Opened: 30th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: December 8 2021</p>		<p>Job descriptions in place for all positions.</p> <p>Green</p>						<p>Target</p> <p>2</p> <p>Likelihood 1 x Impact 2</p> <p>Low</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: COR06]</p> <p>Security including cyber security.</p> <p>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.</p> <p>Appetite : Averse - Safe. Preference always for options that have a low degree of inherent (unmitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Service disruption 2. Financial costs. 3. Reputational damage to the organisation. 4. Personal data lost, damaged or destroyed. 5. Breach of GDPR. 6. Adverse impact on staff morale. 7. Social Care Council becomes risk averse. 8. Social media platforms compromised. 	<p>Corporate Oversight</p> <p>The Social Care Council Business Continuity Plan</p> <p>Green</p> <hr/> <p>Board members and Executives have completed Cybersecurity training through the Leadership Centre with follow up from BSO Cybersecurity Group</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>SLA in place with ITS BSO</p> <p>Green</p> <hr/> <p>Staff made aware of personal responsibility re security through regular communications.</p> <p>Green</p> <hr/> <p>Staff trained on ICT and Information Security.</p> <p>Green</p> <hr/> <p>Representation on the Information Governance Advisory Group (IGAG)</p> <p>Green</p> <hr/>	<p>Gareth Elder</p>	<p>Internal Audit</p> <p>Cybersecurity Satisfactory Assurance Audit completed February 2022</p> <p>Green</p>	<p>No gaps in assurance identified at April 2020.</p>		<p>Inherent 3 Likelihood 1 x Impact 3 Medium</p> <hr/> <p>Residual 6 Likelihood 3 x Impact 2 Low</p> <hr/> <p>Target 3 Likelihood 1 x Impact 3 Medium</p>
<p>Risk Opened: 30th 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: COR17] IT Devices/Resources 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. 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. Inability to meet KPI's 2. Reputational damage and criticism of the function/organisation internally and public facing. 3. Delays in investigating/resolving issues, negatively impacting other teams' ability to maintain high standards. 4. Delay in standard functions of the business 5. No devices for new starts / ability to swap devices in case of poor performance	Operational Control Team trained to deploy devices on arrival <div>Green</div> Workload reviewed to see who needs mobile devices / business critical <div>Green</div> PC Refresh to be carried out asap <div>Green</div>	Gareth Elder		No gaps in assurance at April 2020.			<div> Inherent 6 Likelihood 2 x Impact 3 Medium </div> <div> Residual 4 Likelihood 2 x Impact 2 Low </div> <div> Target 4 Likelihood 2 x Impact 2 Low </div>
Risk Opened: 3rd Dec 2019 Created by: Gareth Elder Reviewed: 11th Jan 2024								

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>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Inability to meet KPI's. 2. Reputational damage and criticism of the function/organisation internally and public facing. 3. Reduction in staff morale/motivation leading to errors 4. Increase in sickness levels and/or staff turnover. 5. Delays in investigating/resolving issues, negatively impacting other teams' ability to maintain high standards. 6. Delay in reporting and providing statistical information requests. 7. Inability to review development work and make improvements to the system. 8. Reputational Damage 9. No new reports developed 10. Longer timeframes for reporting statistical information 	<p>Corporate Oversight</p> <p>KPI's and workload reviewed every month.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Database team trained to high standard on Socrates.</p> <p>Green</p> <hr/> <p>Database processes reviewed regularly to ensure they remain efficient and appropriate.</p> <p>Green</p> <hr/> <p>Monthly report to SLT</p> <p>Green</p> <hr/>	Gareth Elder		No gaps in assurance identified at April 2020.			<p>Inherent</p> <p>4</p> <p>Likelihood Impact</p> <p>2 x 2</p> <p>Low</p> <hr/> <p>Residual</p> <p>4</p> <p>Likelihood Impact</p> <p>2 x 2</p> <p>Low</p> <hr/> <p>Target</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: December 3 2019</p>								

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
[Ref: COR13] Changes at Board/Senior level. 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. 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. Reduction in quality of service delivery. 2. Negative impact on the reputation of the organisation. 3. Loss of experience. 4. Disruption to services. 5. Change in culture which may be negative. 6. Change over may lead to backlogs/work not being addressed in a timely manner.	Corporate Oversight Public Appointments Unit manage Board appointments. <div>Green</div> Arrangements at SLT and OLT level in place. <div>Green</div> Chair and deputy chair roles in place at Board and Partnership level. <div>Green</div>	Declan McAllister	Internal Audit IA audit of Board Effectiveness gave a satisfactory assurance. <div>Green</div>	Outcome of Landscape Review not yet finalised.	A final reflection on the Landscape review actions to be completed by Board Recruitment via the Public Appointments unit to be completed for three new Board members	31st May 2024 30th Sep 2024	<div>Inherent</div> <div> <div>Likelihood</div> <div>3</div> </div> <div> <div>Impact</div> <div>3</div> </div> <div>9</div> <div>x</div> <div>Medium</div>
								<div>Residual</div> <div> <div>Likelihood</div> <div>2</div> </div> <div> <div>Impact</div> <div>2</div> </div> <div>4</div> <div>x</div> <div>Low</div>
Risk Opened: 3rd Jun 2019 Created by: Sandra Stranaghan Reviewed: 11th Jan 2024								<div>Target</div> <div> <div>Likelihood</div> <div>2</div> </div> <div> <div>Impact</div> <div>2</div> </div> <div>4</div> <div>x</div> <div>Low</div>

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>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. KPI's and business objectives not met leading to criticism. 2. Increased staff turnover. 3. Reduction in productivity levels. 4. Loss of staff morale/motivation. 5. Increase in work related stress. 6. Poor management/trade union relationships 7. Mistakes/errors due to work pressure/dissatisfaction and engagement by staff. 	<p>Corporate Oversight</p> <p>Sickness absences monitored every month.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Health and Wellbeing Plan developed</p> <p>Green</p> <hr/> <p>Managers supported in managing sickness levels.</p> <p>Green</p> <hr/> <p>Contract in place with Inspire Health and Wellbeing.</p> <p>Green</p> <hr/> <p>SLA in place with BSO HR.</p> <p>Green</p> <hr/> <p>Attendance management policy and procedure in place.</p> <p>Green</p> <hr/>	Sandra Stranaghan	<p>External Assurance</p> <p>Social Care Council was awarded the Health and Wellbeing Award by IIP.</p> <p>Green</p>	No gaps in assurance identified at April 2021.			<p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p> <hr/> <p>Residual</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p> <hr/> <p>Target</p> <p>2</p> <p>Likelihood 1 x Impact 2</p> <p>Low</p>
<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
<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>Appetite : Hungry - Pioneering. Always preferring to select leading edge/pioneering options, accepting their substantial levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. Fines due to mistakes/errors. 2. Fines due to poor quality data. 3. Criticism/complaints from registrants, public and others. 4. Staff morale/attendance levels will be poor. 5. Reputation will be poor. 6. Unable to successfully deliver the outcomes of the Corporate/Business Plan. 7. Loss of IIP accreditation 8. Loss of confidence/trust from those who use our services. 	<p>Corporate Oversight</p> <p>Annual HR report produced.</p> <p>Green</p> <hr/> <p>Operational Control</p> <p>Training needs regularly identified and reviewed.</p> <p>Green</p> <hr/> <p>SLA with the HSC Leadership Centre in place.</p> <p>Green</p> <hr/> <p>Lessons learnt from complaints/feedback shared with staff.</p> <p>Green</p> <hr/> <p>Range of HR policies and procedures in place to support staff and managers.</p> <p>Green</p> <hr/>	Sandra Stranaghan	<p>External Assurance</p> <p>Social Care Council is an accredited IIP (Gold) employer.</p> <p>Green</p> <p>IIP Report - Gold Status</p> <p>Green</p>	No gaps in assurance at December 2021.			<p>Inherent</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p> <hr/> <p>Residual</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p> <hr/> <p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</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
[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 Appetite : Averse - Safe. Preference always for options that have a low degree of inherent (unmitigated) risk.	Resulting In - 1. Reduction in Capacity to deliver Objectives and maintain Statutory duties 2. Qualification of annual accounts 3. Impact on Reputation of the Organisation	Corporate Oversight Project group in place which will over see recommencement of fee collection <div>Green</div>	Declan McAllister					<div>Inherent</div> <div>20</div> <div>Likelihood Impact</div> <div>5 x 4</div> <div>Extreme</div>
Risk Opened: 22nd Jul 2020 Created by: Declan McAllister Reviewed: 29th Sep 2023		Operational Control Registration System provides details of all those due to pay a fee and automatically provides alerts and ability to pay fee on line <div>Green</div>						<div>Residual</div> <div>2</div> <div>Likelihood Impact</div> <div>2 x 1</div> <div>Low</div>
								<div>Target</div> <div>3</div> <div>Likelihood Impact</div> <div>3 x 1</div> <div>Low</div>

Risk	Risk Impact	Risk Controls	Risk Owner	Assurance Sources	Gaps in Assurance	Improvement Actions	Due Date	Assurance Control RAG
<p>[Ref: COR22]</p> <p>Office Accommodation Move to James House</p> <p>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.</p> <p>Appetite : Open - Creative. Willing to choose whichever options are the most likely to result in successful delivery, even if they have elevated levels of residual (mitigated) risk.</p>	<p>Resulting In -</p> <ol style="list-style-type: none"> 1. 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 	<p>Operational Control</p> <p>DLS in BSO engaged</p> <p>Green</p>	Sandra Stranaghan		Delay in project timetable to October 2022 - lease to be agreed			<p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p>
		<p>Organisation represented on Transition Sub Group and ICT subgroup</p> <p>Green</p>						<p>Residual</p> <p>1</p> <p>Likelihood 1 x Impact 1</p> <p>Low</p>
		<p>Internal working group in place and staff engaged</p> <p>Green</p>						<p>Target</p> <p>4</p> <p>Likelihood 2 x Impact 2</p> <p>Low</p>
<p>Risk Opened: 27th Apr 2021</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 25th Jan 2024</p>		<p>BSO Estates assistance in place to support transition</p> <p>Green</p> <p>Project Plan in place</p> <p>Green</p>						

