

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> <hr/> <p>Residual</p> <p>12</p> <p>Likelihood 3 x Impact 4</p> <p>High</p> <hr/> <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>	<div> <p>Inherent</p> <p>12</p> <p>Likelihood 4 x Impact 3</p> <p>Medium</p> </div> <div> <p>Residual</p> <p>9</p> <p>Likelihood 3 x Impact 3</p> <p>Medium</p> </div> <div> <p>Target</p> <p>6</p> <p>Likelihood 2 x Impact 3</p> <p>Medium</p> </div>
<p>Risk Opened: 28th May 2019</p> <p>Created by: Sandra Stranaghan</p> <p>Reviewed: 6th Jun 2023</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>								

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>

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: 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
<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>								

