



# THE ANNUAL REPORT & ACCOUNTS OF THE NORTHERN IRELAND SOCIAL CARE COUNCIL

---

APRIL 2017 - MARCH 2018

27 June 2018

This Report is also available on NISCC's website [www.niscc.info](http://www.niscc.info). Copies can be made available in a range of different formats on request by contacting NISCC's Communications Manager at the address below or by email to: [comms@niscc.hscni.net](mailto:comms@niscc.hscni.net)

We welcome feedback on this Report. Please contact NISCC's Communications Manager with your comment or queries:

Published by:

Northern Ireland Social Care Council  
7<sup>th</sup> Floor, Millennium House  
19-25 Great Victoria Street  
Belfast  
BT2 7AQ

Tel: 028 9536 2600

Website: [www.niscc.info](http://www.niscc.info)

Email: [info@niscc.hscni.net](mailto:info@niscc.hscni.net)

27 June 2018

©NISCC 2018

You may reuse this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence. To view this licence, visit [www.nationalarchives.gov.uk/doc/open-governmentlicence](http://www.nationalarchives.gov.uk/doc/open-governmentlicence) or email [psi@national archives.gsi.gov.uk](mailto:psi@nationalarchives.gsi.gov.uk). Where we have identified any third party information, you will need to obtain permission from the copyright holders concerned.

For further details about the reuse of the information in this document please write to: NISCC, 7th Floor Millennium House, 19-25 Great Victoria Street, Belfast BT2 7AQ or email: [info@niscc.hscni.net](mailto:info@niscc.hscni.net)

**The Northern Ireland Social Care Council Accounts  
for the Year ended 31 March 2018**

Laid before the Northern Ireland Assembly Under Paragraph  
12(4) of Schedule 1 to the Health and Personal Social Services  
Act (Northern Ireland) 2001 by the Comptroller and Auditor  
General for Northern Ireland on

24 July 2018

Page held for artwork to be added  
in printed version

# Contents

	<i>Page</i>
<b>Chair's Introduction</b>	<b>6</b>
<b>Section 1 - Performance Report</b>	
• Chief Executive's Statement - Organisational Performance 2017 –18	<b>8</b>
• Overview of Performance for 2017-18	<b>20</b>
• Personal and Public Involvement Report	<b>27</b>
• Performance Analysis	<b>28</b>
<b>Section 2 - Accountability Report</b>	
• <b><i>Corporate Governance Report</i></b>	
- Director's Report	<b>35</b>
- Statement of Accounting Officer Responsibilities	<b>44</b>
- Governance Statement	<b>46</b>
- Audit & Risk Assurance Committee Report	<b>60</b>
• <b><i>Remuneration and Staff Report</i></b>	
- Remuneration Report for year ended 31 March 2018	<b>62</b>
- Staff Report for year ended 31 March 2018	<b>68</b>
<b>Section 3 - Accountability and Audit Report</b>	
- Statement of Comprehensive Net Expenditure	<b>74</b>
- Statement of Financial Position at 31 March 2018	<b>75</b>
- Statement of Cashflows for year ended 31 March 2018	<b>76</b>
- Statement of Changes in Taxpayers Equity	<b>77</b>
- Notes to the Accounts	<b>78</b>
- Certificate and Report of the Comptroller and Auditor General	<b>109</b>
<b>Council Membership</b>	<b>Appendix 1</b>
<b>Organisational Structure</b>	<b>Appendix 2</b>
<b>Glossary of Abbreviations</b>	<b>Appendix 3</b>

## Chair's Introduction

***“I am delighted to present the Northern Ireland Social Care Council's 17<sup>th</sup> Annual Report and Accounts and my first report as Chair of the Council.”***



This report covers the period from 1 April 2017 to 31 March 2018. It will give you an insight into the key responsibilities of NISCC and achievements of the organisation towards our aim of *‘protecting the public through improving safeguards for vulnerable people, raising the standards of social work practice and strengthening the professionalism and practice of the social care workforce.’*

I am delighted to present this Report as an accurate reflection of the exemplary work carried out by the staff of the NISCC with the support of our stakeholders and partners. I also would like to acknowledge the tremendous contribution made by my predecessor Jim Perry. Jim has been a strong and supportive Chair, leading the NISCC Council Members, Committees, staff, and partners in achieving the important milestone of compulsory registration for the 40,000 people who make up the social work and social care workforce in NI. Having completed registration for this diverse workforce, we can have confidence in the commitment of each social worker, social care worker, and social work student in meeting the NISCC Standards for their Conduct and Practice.

It is my privilege now to lead the Council to ensure the registered workforce has the knowledge, skills and training to deliver the new models of service delivery our Department of Health is developing to support the transformation of social care in NI. During the coming year, we are committed to engaging with newer registrants to consolidate their standards of education, training and practice, whilst supporting established registrants to continually reflect on and improve their practice.

As a social worker with over 46 years' experience and 30 years in Social Care Policy development within the Department of Health and abroad, I am inspired by the NISCC's achievements in maintaining high standards in social work education at Degree level and in developing the Professional in Practice Framework to support continuing professional development for our social work registrants. During the year, 213 social workers achieved Awards on the PiP Framework and this will be improved when access to the PiP Framework is extended during 2018/19 to include newly qualified social workers through Credit Accumulation and recognition of Doctorate level qualifications on the Framework.

Equally, I am impressed with the contribution NISCC, as a regulator, has made towards training and development for social care registrants. This workforce is delivering increasingly complex care and support to a growing number of people in care settings and in their own homes. We have a key role in leading workforce development for the social care sector. We work to ensure the effective use of research, best practice and new technologies for NISCC registrants, to develop their skills and knowledge, which will enable them to deliver high quality services for disadvantaged and vulnerable people.

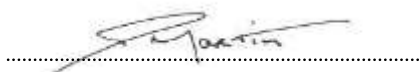
Scoping work was also undertaken for the first ever Learning and Improvement Framework for Social Care. The new Learning Framework is a major step towards further developing a career structure for the social care workforce. I look forward to sharing it with you when we consult on this next year.

We have continued with our efforts to use technology to support registrants in their learning and development. It is our vision to have an online Learning Zone providing a wide range of free resources for registrants and I would urge all NISCC registrants and their employers to use this to help develop their professional practice. We have also been developing our upgrade to the NISCC Electronic Registration system and I look forward to a new and improved online registration system for registrants and employers in July 2018.

While this Annual Report details the many achievements delivered by the NISCC during the year, it would be remiss of me not to recognise the significant contribution made by members of Council, Committees and Partnerships – the Participation Partnership, Registrants Forum, Workforce Development Partnership and Professional in Practice Partnership. The inclusivity and quality of joined up working from these individuals and Partnerships strengthen the NISCC as the workforce regulator and ensure that we are held to account for what we strive to achieve and continue to be challenged to be the best at what we do.

I welcome the opportunity to lead the Council in the next chapter of its regulation journey; ultimately building a professionally competent workforce in which all of us in Northern Ireland can have confidence and be justifiably proud.

I am pleased to commend this Annual Report.



**Paul Martin**, Chair, Northern Ireland Social Care Council

# Section 1

## Performance Report

### Organisational Performance, April 2017 – March 2018

#### *Statement by the Chief Executive, Colum Conway*



I am pleased to present this Annual Report and Accounts for the period April 2017 to March 2018.

Although it may sound clichéd, this truly has been a ground breaking year for the social care sector in Northern Ireland. With the completion of compulsory registration, social care has stepped into the realm of workforce regulation

I would like to thank all of those who helped us complete the registration programme for the social care workforce. We could not have completed the project without the expertise and enthusiasm of our stakeholders and the social care employers who worked actively with us to ensure the timely registration of these staff groups. We now have a publicly available register of all the social workers, social care workers and social work students in NI. People who use services and their carers can feel confident that NISCC registrants are committed to meeting our published standards for their conduct, practice and training. They can be assured that NISCC registrants will complete regular training to update their skills and knowledge so they can provide them with high quality care.

The profile of social care featured widely across local media this year including the publication of our reports on 'Social Care Matters' and 'The Economic Value of Social Care in NI'. The launch of these reports at our social care symposium in December 2017 brought together people from social care, business, government agencies and political parties to discuss the value and contribution social care makes to the economic and social wellbeing of citizens across NI. The workforce insight provided in these reports continues to inform and support the changes needed to reform and transform social care in line with the changing needs of our population.



It is important however, not only to reflect on what has been achieved, but also to look ahead to the future. For NISCC, we have an important role going forward in understanding the needs and expectations of registrants and stakeholders to ensure we continue to provide high quality support and deliver a robust and adaptable system of workforce regulation.

During the year, we strengthened our Communications and Engagement capacity. Many of you will already have experienced the benefits of this; either through our refreshed digital media, or by taking part in our information sessions to meet NISCC and find about our services and standards. You told us that you would like to see NISCC closer to your workplace, helping you improve your understanding of being a registered professional, and in light of this, we have committed to a strong engagement plan for 2018-19. Our new website and integrated digital media will be launched in the autumn and we hope you will find this a useful way to tap in to our news and services. We have also invested in upgrading the online registration database which supports the NISCC Social Care Register. The system is in the final stages of testing and is scheduled for Go-Live this summer.

All of these achievements, alongside the day to day business of maintaining the social care register, managing Fitness to Practise cases and developing workforce learning and qualifications mark the first stage in our progress towards achieving the outcomes in our 2017-2021 Corporate Plan. The Plan is outcome based and we have developed an Evaluation Framework to measure our impact to ensure that we can continually improve on what we do so that we can best deliver these outcomes for all those who use our services.

## **Financial Performance**

Despite the challenging workload undertaken this year, we fully achieved the majority of our objectives and we did so within budget. The accounts for 2017-18 as set out in this Annual Report and Accounts give a detailed account of how the budget was managed and allocated throughout the year, including the break even position. A summary of our performance against Key Indicators is detailed later in this section.

Our work is themed across strategic priorities. An overview and commentary on our performance against the objectives for these strategic themes during 2017-18 is set out in the following pages.

# 1

## Standards – Putting standards at the heart of social work and social care practice, education and training

**Our Aim: To set and raise standards across social work and social care practice, education and training and to ensure these are at the heart of the work of NISCC**

### **Our Actions – the things we did:**

- Worked with registrants, employers and service users to support the consistent application of the Standards of Conduct and Practice
- Revised the Standards for Social Care Employers
- Developed accessible and adaptable learning methods and models for the registered workforce and their employers to support the application of Standards in Practice

### **Outcomes – the difference this helps to make:**

- Registrants have a greater understanding of the Standards and their application
- Service users and carers know what standard of care they can expect and how they will be treated
- Employers are supported in their use of the Standards

**11 Standards Workshops** with **150 Registrants** -

learning about the benefits and responsibilities of being a registered social care professional

**71% of Registrants strongly agreed** that **registration** and **professional standards** would **help reduce risks** to people they care for



**7 Information**

**Sessions** with **30 Service User Reps**

...talking about the Standards and what they can expect from their social care worker

With our **partners**, we developed **Employer Standards** and



'Raising Concerns'  
Guidance for **Registrants**

With **Service Users** and **Registrants**, we **designed** and promoted **Easy Read Standards** and the 'What I Need from my Social Care Worker' leaflets



**5771 Users** of our **Domiciliary Care App**

- 40,874 sessions
- 77 countries
- 53% growth in year



our **Child Development App** won the **HusITa 2017 Award**

Developed **4 Online Learning Products** for the Adult **Care**

**Toolkit** – building learning and development activity to fit around registrant's diverse work patterns and varying learning needs



# 2

## Regulation – Regulate the Workforce and Social Work Education and Training

**Our Aim: To establish clear benchmarks for good social work and social care practice through our Registration, Fitness to Practise and Regulation of Social Work Education functions**

**Our Actions – the things we did:**

- Supported employers and social care workers to implement compulsory registration
- Provided information and guidance to help social workers, social care workers and social work students to maintain their registration and professional standards
- Carried out Fitness to Practise investigations and hearings effectively and with integrity
- Reviewed standards of social work education provided at Degree and Post Qualifying levels

**Outcomes – the difference this helps to make:**

- The Social Care Register provides an accurate public record of the registered workforce
- Registrants and employers are using our registration systems and materials to support their registration
- Employers and registrants have greater awareness about Fitness to Practise for social work and social care
- Social work education and training is current and relevant to service needs

**39859** NISCC  
Registrants at  
31/03/2018

**33,111**  
Social care workers

**6048**  
Social workers

**700**  
Social work students

To **maintain** the  
**Register**, we  
completed:

• **12,263** registration  
applications

• **6,507** registration  
renewals

• **766** 'Suitability for  
Registration' assessments

• **10** International  
Social Work Applications

**162 Registrant's**

were **audited** for their **training** and **learning**

**100%** met **the PRTL Standards**

**384 concerns** referred to the **Fitness to Practise**

Team and **272 did not** require **NISCC FtP action**

**15 Witnesses** and

**46 Registrants** were **guided** and **supported** to take part in our **Fitness to Practise** processes

**17 Fitness to Practise**

**cases** were **actioned** by

**Consensual Disposals** resulting in:

- **12 Warnings**
- **4 Undertakings**
- **1 Removal by Agreement**



With **registrants**, we developed registration **guidance** for **Internationally Qualified social workers** — helping them establish their social work career in NI

**16 Fitness to Practise**

**cases** were **decided** by **Committee Hearings** resulting in:

- **3 Conditions** of **Practice Orders**
- **3 Suspension Orders**
- **5 Removal Orders**
- **2 'Fitness to Practise Not Impaired'**
- **1 'Facts Not Found'**
- **2 Cases Withdrawn**

# 3

## Workforce Development – Develop the Social Work and Social Care Workforce

**Our Aim:** To support workforce learning and development to deliver safe, effective and values-led care which will help improve outcomes for people who use services

### Our Actions – the things we did:

- Promoted social work and social care career opportunities through the NISCC Ambassador Service
- Piloted 'Open Badges' to credit social care training
- Developed the Induction Programme and the Level 4 Qualification for social care
- Established the network for social care managers
- Supported social workers to achieved credits on the PiP Framework for social worker CPD

### Outcomes – the difference this helps to make:

- Positive promotion of social work and social care careers
- Recruitment supported for social work and social care
- Social care training maximised
- Career development for social care improved
- Social care managers sharing best practice and building professional forums
- Social work training linked towards professional awards

With **Bryson Care**, we **piloted** our first

## Open Badge

**qualification for care** to recognise in-service learning and development



## 500 Social Care

**Managers took part in 6 events** across NI – sharing best practice and learning about service developments



**94%** of **managers** said **learning** from the **forum** will be useful in their employment

## 63 Ambassadors

**Trained** and **supported** to promote **Social Work** and **Social Care Careers** in schools, colleges, careers and recruitment events



**682** Social workers engaged in the **PiP Framework** and

**262** Used **PiP Online Credit Accumulation**

...as part of their professional development

**213 PiP Awards** achieved:

- **82** Consolidation Awards
- **90** Specialist Awards
- **41** Leadership & Strategic Awards



# 4

## Systems Leadership – Promote a Systems Leadership Approach across the Social Work and Social Care Sector

**Our Aim:** Through collaborative working, to facilitate new thinking and fresh perspectives to reduce harms, minimise risks and improve quality in the delivery of social care services

### Our Actions – the things we did:

- Worked with RQIA and other regulators to share learning and inform standards
- Supported the Workforce Development Partnership
- Hosted the 'Social Care Matters' symposium
- Shared intelligence about the registered workforce to inform planning
- Published the Economic Value of Social Care Report

### Outcomes – the difference this helps to make:

- Employers in the sector collaborate to influence the development of the workforce and services
- Registrants are skilled and able to respond to changing service needs

**Informed** and **supported strategic development** for **social work** through **project groups** for the **Social Work Strategy** and the **Social Work Awards 2018**



**200 Registered Managers** took part in joint **NISCC, RQIA, NMC workshops** on **Standards, Approval and Inspection, Recruitment and Induction**



**75%** said the sessions were **useful** and **met their expectations**



Developed the **Economic Value of Social Care** report and **showcased the findings on local media** with our **Workforce Development partners**



Through our **Workforce Development Partnership**, we hosted the **Social Care Matters Symposium** to generate **fresh thinking** on the **valuable contribution** of **social care** to the **community in NI**



# 5

## Communication - Communicate, Connect and Engage

**Our Aim: Meaningful and effective engagement with our stakeholders will support us in delivering our plans**

**Our Actions – the things we did:**

- Provided high quality customer services for registrants and stakeholders
- Listened to our stakeholders and Involved them in our work
- Published stories to promote the positive contribution of social care
- Briefed key interests in media and public bodies about the benefits of a regulated workforce and professional standards
- Developed our online and social media to widen access to our news and resources

**Outcomes – the difference this helps to make:**

- Improved public perception of social work and social care as a workforce that is committed to high standards
- Increased confidence in the contribution of regulation and workforce standards towards strengthening public protection
- The views and experiences of service users, carers, registrants and employers informs and shapes what we do to ensure we are effective in raising standards to meet their needs



**Involved** our **Participation Partnership** and the **TILII Group** to **develop Standards** leaflets and guidance for **service users** to **demonstrate** the **benefits** of **workforce registration** and **regulation**



We engaged with **1900** of our **stakeholders** in **workshops**, meetings, **presentations** and **conferences**

**70%** of them said it was important to be able to share their views with **NISCC**

We reviewed our **digital communications** to improve access to our **online** and **social news**

**186,831** website visitors accessed **518,430** pages



Built up to **3255** Social Media Followers and reached **511,000** people with our posts

**14** new clips on our You Tube channel to **widen access** to our events and share guidance on our social care standards work

Our **Customer Service Team**

supported **38,411** people through the year.

Customers reported **90%** satisfaction with the **quality** of our service

We met with **Assembly Parties** to help **improve understanding** of current and future needs for **social care**



## Overview of Performance - 2017-18

### Strategic Theme 1 - Standards

**Putting Standards at the heart of social work and social care practice and education and training** - Setting and raising standards in social work and social care practice, education and training and ensuring these are at the heart of the work of NISCC.

Standards are the cornerstone of everything NISCC does to strengthen the professionalism of the registered workforce across NI. This year our work focused on providing the supports to ensure that registrants, their employers and stakeholders are aware of the standards and begin to understand how they apply in daily practice.

Our Workforce Engagement team delivered workplace information sessions with registrants across 20 organisations to discuss the responsibilities of being a registered social care professional. They also met with service users in seven supported living settings to raise awareness about workforce standards and how they can help improve services for those who use them.

Work is also underway to develop interactive resources on our website which will help

registrants and employers develop their understanding of the standards.

Together with service users and the NISCC Registrants' Forum, we developed and launched Easy Read versions of the Standards of Conduct and Practice and an accompanying leaflet 'What I Need from my Social Care Worker'. These booklets are being shared throughout social care organisations to help ensure service users receive the best standards of care.

To complement the new workforce standards, we reviewed the standards expected of Employers of Social Care Workers. Jointly with RQIA and the Registrants' Forum, we launched and promoted the Employer Standards at workshops with 200 managers across NI. We also worked with RQIA to identify systems to monitor use and application of the Standards in the workplace. This will be managed on a thematic basis through RQIA inspection and reporting.

Through our Evaluation Framework, we will identify the incremental improvements in the use and application of the Standards for Workers and Employers. We will involve stakeholders in the development and testing of online and interactive workforce learning resources to ensure the 'lessons learned' from Fitness to Practise supports application of the Standards.

## Strategic Theme 2 - Regulation

### **Regulating the Workforce and Social Work Education and Training –**

Ensuring the functions of Registration, Fitness to Practise and Regulation of Social Work education establish clear benchmarks for good social work and social care practice

As alluded to in the Chair's Introduction, NISCC worked with a wide range of employers in the Trusts, private and other sectors to ensure the successful roll out of registration to the domiciliary and day care workforce.

The roll out of registration has fundamentally changed both the size of the register to over 39,000 and the shape of that register – with the largest volume (of over 80%) being social care workers. During the year, our registration team processed 12,263 new applications and 6,507 renewal applications. The register continues to grow in 2018-19 and is likely to remain above 40,000 in the longer term.

To ensure that registrants are meeting our requirements for standards in their learning and development, we audited 162 social workers and social care managers during the year. All of them successfully completed their submissions and the reflection on their practice was of a high standard.

During the year, we worked with the Department of Health and the Social Care Institute for Excellence to evaluate the impact

of registering the social care workforce. Initial feedback from this four year project indicates 77% satisfaction with our registration services and 71% positive endorsement that registration and standards will improve quality of services and reduce risks to service users. An overview of the Evaluation Project was presented at the Professional Standards Authority International Regulators conference in March 2018.

The focus for registration is now moving from building the register to helping registrants maintain their registration and develop their professional practice. The registration team will be working closely with our Communications and Workforce Engagement staff to deliver a programme of information and engagement to support registrants and their employers throughout 2018-19.

As a regulator, NISCC has responsibility for workforce standards and standards of social work education and training. This year, our Fitness to Practise team received 384 allegations against registrants and in that time, assessed and concluded 305 cases. This was a 30% increase on referrals received in 2016-17 and largely reflects growth in numbers on the register. Despite this increase, the overall volume of complaints against registrants remains at less than 1% of the registered workforce.

This was the first full year of applying the new Model of Regulation, which includes the opportunity to consensually apply warnings or conditions in cases where there are minor breaches of the standards. 17 cases were concluded consensually; providing resolution for complainants and registrants in a less stressful process. An independent audit of consensual disposals was undertaken which confirmed the quality and consistency of the decisions taken. More details of Fitness to Practise activity is included in the KPI analysis.

### **Strategic Theme 3 - Workforce Development**

**Developing the Social Work and Social Care Workforce** - Better outcomes for people who use social care services will be achieved by a regulated workforce that delivers safe, effective and values led care

The Workforce Development Team led an extensive range of engagement to deliver on our objectives to develop the workforce and the training needed to further their skills and knowledge. We completed a detailed review of the Level 4 qualifications for social care. This involved lengthy consultations with employers and education providers to ensure the qualification meets the needs of the workforce. The new Level 4 qualification will assist career progression into social care management.

At the opposite end of the career spectrum, the revised Induction Programme and accompanying guidance for Managers will assist employers in developing new workers and aligning their training with the NISCC Standards.

Development of the NISCC Social Care Managers continued in 2017-18 with four Managers Forum events and two events for Registered Managers held across NI. 500 managers took part in the events to discuss registration and practice issues. 94% said that it helped improve their practice. Dates are already advertised on our website for the 2018-19 events – make sure to sign up.

The lunchtime seminars for social workers and social care workers also proved popular, with a wide range of themes including Adult Slavery. These seminars are an opportunity for our registrants to share their learning and practice with their colleagues. Videos and presentations from the seminars are available from our website for those who want to catch up. The 2018-19 dates and topics will be published shortly

This year, we took our online learning solutions to a new level with the development of the new 'Adapt' online learning platform. This will support all of our interactive learning and will allow us to tailor learning to meet registrant needs. So far, we have developed four modules for Adult Social Care and this will be closely followed by learning modules for

Child Development and the GAIN resource for maintaining good practice. The first modules will be launched on our website Learning Zone in summer 2018.

Entry to the social work profession remains healthy with 247 new social workers graduating and 213 qualified social workers achieving NISCC Professional in Practice Awards for their CPD. Work continued to ensure standards are being maintained for social work training and practice learning at Degree level and for NISCC approved Post Qualifying programmes. Preparations were also undertaken for the Five Year Review of the Degree which will begin in summer 2018. These activities ensure social work training is kept current and relevant to social work practice needs.

#### **Strategic Theme 4 - Leadership**

##### **Promoting a Systems Leadership Approach across the Social Care Sector**

- Through collaborative partnership working, facilitating new thinking and fresh perspectives to reduce harms, minimise risks and improve quality in the delivery of social care services

Through the Workforce Development Partnership, NISCC brings together key interests from across the social care sector to discuss issues affecting the workforce and

identify opportunities for shared working to improve recruitment and retention.

The Workforce Development Partnership collaborated to produce the 'Social Care Matters' report and to build the social care symposium to launch the report and stimulate debate about the report findings. The symposium successfully involved social care employers, policy makers, economists and the media to debate the future of social care and the investment required to support it.

NISCC also contributes insight on the social work and social care workforce towards strategic reviews for the sector. Our senior staff fulfilled roles in the workstreams being undertaken by the Department of Health to take forward the recommendations in the review of Adult Social Care.

We have also helped to establish a Social Work leadership network for the profession across Northern Ireland and contributed to the development of the HSC Workforce strategy as part of the transformation agenda put forward in 'Delivering Together'.

We recognise that NISCC is uniquely placed to develop intelligence about the shape, size and composition of the entire social work and social care workforce. To ensure that we can use our data effectively towards developing the sector, we are investing in our data analysis capabilities in 2018/19.

## Strategic Theme 5 - Communication and Engagement

**Communicating, Connecting and Engaging** - Effective and meaningful communication and engagement will support the delivery of the Corporate and Business Plans

As this report shows, NISCC staff, Council Members and our partners have undertaken a wide range of engagement to promote workforce regulation and standards.

We have directly engaged with 900 of our stakeholders through NISCC workshops and events. We have indirectly engaged with another 1000 stakeholders by participating and presenting at conferences and events hosted by our partners. Feedback from this engagement has been very positive, with 70% telling us that they welcome this practical approach to engagement and they appreciate the opportunity to 'meet NISCC'.

The Communications Team lead on a programme of briefings to inform local politicians at Assembly and local Council level about the role of NISCC and the positive contribution of social care. We met with the main parties to ensure social care featured on all their manifestos and we met with Community Planning leads to build links to support future Community Development.

Throughout the year, we produced news features for our website, e-news and social media; sharing information about training opportunities and celebrating successes like the Social Work Awards, World Social Work Day and Care Home Week. We reviewed our website and digital media and will relaunch these in 2018 to provide a more streamlined service that reflects user feedback and browsing patterns.

### Infrastructure

**NISCC's strategic objectives are supported by an overarching corporate objective to 'ensure NISCC has the necessary infrastructure i.e. the people, resources, governance and estate management arrangements in place to deliver its strategic objectives'.**

**Resources** - NISCC manages a number of its Business Support functions through Service Level Agreements with the Business Services Organisation (BSO) – these include, finance, HR, audit, procurement, IT, legal, information governance and equality.

NISCC is also a customer of the Shared Services Centres for payroll, income, recruitment, estates management and health and safety.



The accounts of the Northern Ireland Social Care Council are set out in the Accountability and Audit Report of this Annual Report and Accounts for 2017-18. NISCC managed its accounts through a robust framework and within guidelines and broke even at year end.

**People** - In order to meet our strategic objectives, we must manage our systems and resources effectively. The most important of these resources are our people. NISCC has a well embedded appraisal system which includes the Knowledge and Skills Framework (KSF) and all staff had a performance appraisal carried out under the KSF framework including the development of new objectives and a Personal Development Plan for the year ahead. As a result of this work 98% of staff had an annual appraisal completed by June 2017 using KSF.

This year saw a considerable change in staffing and Council Membership, with three Council Members (Julie Erskine, Ruth Lavery and Geraldine Campbell) completing their terms in September 2017. Our Chair and longstanding member, Jim Perry, finished his term at the end of March 2018. On behalf of the staff, I would like to thank all of them for their contributions and support.

Within the Senior Management Team, we welcomed Declan McAllister as our new Director of Registration and Corporate Services in July 2017. I would like to thank the

previous Director, Mark Bradley, who had been with NISCC for almost 10 years, for his commitment to NISCC and achieving registration for the social care workforce.

NISCC has supported staff health and wellbeing by promoting a series of awareness sessions and also providing membership in the Global Corporate Challenge to encourage healthy exercise, eating and work life balance.

At the end of 2017-18, NISCC staff absence rate was below the DoH 4% target with a recording of 3.24%. Staff have worked together to review our culture and values and also taken part in a number of social sessions to fund raise for local charities. Our greatest social achievement this year was the Marie Curie Shop Challenge which involved every member of staff and raised £1,500 for the charity.

**Quality** - As a staff group, we worked together on a number of projects to review our work and improve how we do it. All staff took part sessions to develop and review our Business Plan. They were supported to take part in a Quality training and each contributed to Quality workstreams. The Quality workstreams have developed to include preparations for Investors in People Reaccreditation; improvements to the registration process and development of the Synergy Project to allow staff the opportunity

to experience social care work in a workplace setting.

**Governance-** NISCC complied with its governance arrangements and framework during 2017-18 which included maintenance of the Corporate and Operational Risk Registers and the overarching Assurance Framework. In doing so, NISCC also provided risk management and GDPR training for staff.

The Risk Management Committee (which is chaired by the Director of Registration and Corporate Services) and which reports to the Audit and Risk Assurance Committee, completed the self-assessment questionnaire (based on the Audit Self-Assessment pro-forma) to ensure it was effectively managing risk and providing the right level of assurance to the Audit and Risk Assurance Committee, and Council. The Risk Management Committee also continued to review its Terms of Reference.

During the year NISCC continued to ensure compliance with all areas of Information Governance including substantive assurance in its Controls Assurance Standard self-assessment. NISCC carried out a Business Continuity Test Exercise during 2017-18 and reviewed its Business Continuity Plan and Strategy. NISCC continues to embed Business Continuity in all aspects of its business and the members of the group meet in the event of an event/incident, or anticipated

event/incident. Outcomes from Business Continuity are linked to NISCC's risk management arrangements and any risks arising are reported as relevant in the Corporate and/or Operational Risk Register.

### **Estates**

NISCC reviewed the Property Asset Management Plan during the year to better manage its estate and deliver best value for money in relation to its premises at Millennium House.

## Personal Public Involvement (PPI) Report 2017-18

NISCC is committed to working closely with stakeholders to ensure they are supported to contribute their views and experiences effectively to NISCC business. The input of people who use social care services and carers is a valued and integral part of planning, implementing and reviewing all areas of work and projects across NISCC.

Over the past year, NISCC has continued to deliver its participation agenda through its Participation Partnership by ensuring people who use social care services and carers have an opportunity to challenge, influence and advise the work of NISCC.

NISCC's Participation Partnership is chaired by a Member of Council and comprises carers and people who use social care services. The group is supported by a NISCC Professional Adviser and links with other NISCC staff members as project work requires.

### Achievements in 2017-18 include:

- Partnership Members helped to develop and promote Easy Read versions of the Standards of Conduct and Practice. They also worked with the Registrants Forum to develop the 'What I Need from my Social Care Worker' leaflet which will be used to help explain the standards expected of registered workers.
- Two members participated in judging panels for the 2018 Social Work Awards; a key event that celebrates the best of social work.
- The group also participated in interview panels for new Fitness to Practise panel members.
- Members also contributed to development of GAIN guidance for social care managers
- Alongside service users from supported housing and residential care, the participation group featured in a video presentation to promote 'Social Care Matters' at the December 2017 symposium to raise awareness of the contribution of social care to the community and economy in Northern Ireland
- They have taken an active role, on behalf of the Partnership, in the Regional Personal Public Involvement Forum. One member has also attended a number of external meetings with NISCC staff members to help improve understanding of the NISCC role in improving standards for the workforce.



What NISCC Standards Mean to Me' - Anne Mallon

34 views

Northern Ireland Social Care Council  
Published on Jan 23, 2018

Anne Mallon, a member of the NISCC Participation Partnership, shares some of the standards that

SUBSCRIBE

## Performance Analysis – Objectives and KPIs

51 business objectives were set to support delivery of the strategic objectives in 2017-18. Business was impacted during the first three months of 2017-18 by the high volumes of registration and regulation activity required to complete registration for the new social care registrants as part of government policy to introduce compulsory registration for social care workers. NISCC is pleased to report that the majority of its objectives were delivered during the year.

- 46 Objectives fully achieved
- 4 Objectives partially achieved
- 1 Objective transferred across for completion in Jun 2018

### KPIs

Performance was managed against a wide range of performance indicators and KPI's across all aspects of the business. Achievement against KPIs is set out below:

#### NISCC Standards

	KPI	Achieved
1.	Deliver a minimum of 6 engagement events with service users to enhance the understanding of the Standards.	Sessions held with service users in 7 social care settings

#### Regulation

	KPI	Achieved
2.	Process 95% of applications/renewals within 20 working days of receiving the completed application.	99.2% 18,770 registration applications and renewals approved
3.	Conclude the removal process for 95% registrants within 20 working days after the due date for unpaid annual fees/failure to renew.	93.1% 4087 removals processed
4.	Update the register for all Fitness to Practise decisions within 2 working days	98% 63 decisions updated on the register
5.	Conclude 90% of Fitness to Practise cases within 15 months of opening the case,	94% 255 Fitness to Practise cases concluded within 15 months
6.	Conclude or refer to a Fitness to Practise hearing, 80% of cases at investigation stage within 7 months.	78% 202 cases concluded/ referred at within 7 months
7.	Conclude or refer to a Fitness to Practise hearing, 85% of cases at investigation stage within 12 months	93% 252 cases concluded/referred within 12 months
8.	Conclude 100% of ISO hearings within 4 weeks of referral.	94% 16 out of a total of 17 ISO hearings concluded within 4 weeks of referral

	<b>KPI</b>	<b>Achieved</b>
9	Conclude 90% of suitability assessments within one month of the case created.	83% 605 out of a total of 766 Suitability for Registration Assessments concluded within one month of creation.
10.	Conclude 90% of Fitness to Practise hearings under the FTP procedure within 5 months of date of transfer.	50% 7 out of 14 Hearings held under the Fitness to Practise procedure were within KPI. 7 were subject to external delays.
11.	Conclude 90% of Fitness to Practise hearings under the health procedure within 8 months of the date of transfer.	50% 2 Hearings held under the Health procedure. 1 case could not be scheduled during required timescales due to registrant's personal circumstances.)
12.	100% of Suspension and Conditions of Practice Orders which require review listed for review before expiry date.	100% 4 Review Hearings held
13.	Send 100% of Notices of Referral, Review, Hearing and Review Hearing to the Registrant no later than 28 days in advance of Committee	100%
14.	Send 100% of Notices of Decision, Transfer and Direct Transfer to the Registrant within seven days of the decision	100%
15.	Arrange 100% of initial pre-hearing reviews to convene no later than 28 days after the matter has been transferred to the Fitness to Practice Committee	100% 17 Pre-Hearing Reviews held
16.	Send 90% of witness packs to witnesses 10 days in advance of the Committee	100% 27 Witness Packs issued

## Workforce Development

	<b>KPI</b>	<b>Achieved</b>
17.	Increase the uptake of social workers using the PiP Framework by 10%.	262 used the online Credit Accumulation  682 engaged in assessment within the PiP Framework  213 PiP Awards achieved
18.	Deliver a minimum of 4 engagement and networking events for social care managers.	6 engagement and networking events hosted for managers.

## Leadership

	KPI	Achieved
19.	Achieve 85% positive feedback on our symposium events to open debate on workforce regulation and the future of social care.	Social Care Symposium held 8 Dec.  Event and key points from the debates/report recommendations covered on BBC Newsline Also printed in Irish News, Newsletter

## Communication and Engagement

	KPI	Achieved
21.	Develop a yearly Communication and Engagement Plan by March each year which will be delivered in the following business year.	Plan developed and delivered to support key messages and branding
22.	Increase by 10% the number of stakeholders reporting a positive experience of the NISCC (baseline 80%)	97% Overall satisfaction reported by stakeholders in survey responses.
23.	Extend our outreach to stakeholders by 10%.	900 stakeholders directly engaged with NISCC staff through NISCC events/seminars/briefings/worksh ops and 1100 indirectly.  99,148 individual website visitors  3255 social media followers: 511k social media reach

## Infrastructure and Leadership

	KPI	Achieved
24	Produce an annual Business Plan by March of each year and account for how we managed the business through the publication of an Annual Report and Accounts by June of each year.	Annual Report and Accounts for 2016/17 laid in Assembly in July 2017 and printed September 2017.
25	Ensure NISCC's Portal is available not less than 95% of time during the year.	98%
26	Manage our sickness absence levels to ensure they remain below 4%.	3.24%
27	Ensure we achieve the minimum standard of paying 95% of undisputed invoices within 30 days and 75% of the 10 day prompt payment target	1259 invoices paid in 2017/18.  96.11% paid in 30 days 77.84%)paid in 10 days

## **Performance Analysis - Business Trends**

### **Registration**

The high volume of applications received in the final stages of compulsory registration had a significant impact on KPI's in the first half of 2017-18. Registration was marginally below standard for 2 of the 3 KPIs set for 2017-18. 18770 applications and renewals were processed in the year, but were outside KPIs for timescales during Quarter 1 and 2. Time taken to update decisions on the register was also delayed by one day due to the increased business volumes. Although registration KPIs returned to standards in Quarter 3, and by end of the year, monthly targets were exceeding year end, the impact on performance in the first half of the year could not be rebalanced sufficiently and 2 out of the 3 the Cumulative KPIs remained marginally below target.

Registration services and standards were closely monitored throughout the year and assurances provided to NISCC's Senior Management Team to ensure the workload was managed appropriately.

During the year, the number of people using the online Portal to register continued to grow and this will continue to be promoted as the primary way to register and renew registration with NISCC. With completion of registration roll out, activity will move to focus on supporting registrants to maintain their registration and meet the NISCC standards for their professional conduct and practice.

### **Fitness to Practise**

Fitness to Practise also experienced a significant increase in activity during 2017-18 and as a result, met 3 of the 5 targets set for the year. Fitness to Practise referrals increased by 30% during the year. There was also a significant increase in Suitability Assessments for Registration – 766 assessments this year, compared to 366 in 2016-17. This has been monitored through the year to ensure sufficient resources are available to assure the integrity of Fitness to Practise Functions. The volume of assessment and referrals has remained higher and reflects the growth in the register numbers. KPIs and resourcing for Fitness to Practise is being reassessed for 2018-19 business year.

### **Fitness to Practise Committee**

Business activity for Committee was more concentrated in the second half of the year and included the first joint hearing for three social work registrants. 17 hearings were held in the year and 8 of these were delayed due to the complexity of the cases or registrant capacity to participate. Therefore, Fitness to Practise Committee KPI's met 5 out of 7 targets for the year.

NISCC Committee team worked closely with those parties involved in hearings to ensure that hearings were progressed as efficiently as possible in line with its Fitness to Practise rules and regulations. Business volume will be monitored during 2018-19 to ascertain whether the increased referrals will be producing a corresponding surge in cases being transferred to Committees and Hearings.

### **Workforce Development**

Significant engagement activity was undertaken by the Workforce Development Team during 2017-18 across social work and social care education, training and development. The KPI was successfully met for promotion of the Professional in Practice Framework among social workers and to encourage them to use the online Credit Accumulation facility to gain recognition for their learning activities. This proved very successful with 262 social workers using Credit Accumulation in the year and 682 engaged with assessment within the PiP Framework.

A Workforce Development Officer with lead responsibility for engagement was appointed in autumn 2017 and they will help support the team in the extensive range of engagement included in the 2018-19 Business Plan. The first of the new online learning tools which will make up the NISCC Learning Zone was completed which produced four learning products in the Adult Care Toolkit. This work will carry forward into 2018-19 and support a range of training including Induction and Open Badges.

### **Communications and Engagement**

Communications and engagement delivered a wide range of communications to support the NISCC teams in delivering their objectives. KPI standards were met for planning and delivering the communications agenda. Capacity within the Communications function was increased with the development of the team to include a Communications and Engagement Manager, a Digital Officer and Communications Assistant.

During the year the team reviewed the NISCC brand and digital services to strengthen delivery of NISCC messages and support targeting of stakeholder groups. This work will be built on during 2018-19 to ensure NISCC is more aware of and can better respond to stakeholder needs and expectations.



## **Infrastructure and Leadership**

NISCC's Corporate Team met 13 out of the 14 KPIs set within Infrastructure and Leadership. These KPIs relate to the People, Resources, Systems, Governance and Quality required to deliver the business objectives. The objective to develop and deliver a new registration database was not completed within year and the project will continue across with a revised launch date of summer 2018. The decision to extend the project timescale was taken by the Project Board in February 2018 following the first phase of User Acceptance testing. A number of issues were identified by the testing team and the project team recommended a new timeline to ensure sufficient time was available to implement all the fixes required. The existing database system is still operational and has capacity to provide the range of registration services in the interim.

## **Performance in Relation to Environmental Matters**

The Statutory Duty for Sustainable Development applicable to public authorities is set out at section 25 of the Northern Ireland (Miscellaneous Provisions) Act 2006 and applies to all Northern Ireland Departments and District Councils.

The six priority areas are:

- Building a dynamic, innovative economy that delivers the prosperity required to tackle disadvantage and to lift communities out of poverty;
- Strengthening society so that it is more tolerant, inclusive and stable and permits positive progress in quality of life for everyone;
- Driving sustainable, long-term investment in key infrastructure to support economic and social development;
- Striking an appropriate balance between the responsible use and protection of natural resources in support of a better quality of life and a better quality environment;
- Ensuring a reliable, affordable and sustainable energy provision and reducing our carbon footprint;
- Ensuring the existence of a policy environment which supports the overall advancement of sustainable development in and beyond Government.

NISCC continues to be committed to ensuring it makes an active contribution to those areas which it can influence. Prominence is therefore given to the way in which NISCC conducts its work to minimise, where relevant, a negative impact on these duties, but more importantly to make sustainable improvements wherever possible.

NISCC has put in place a number of positive actions across the following areas:

- Office Issues
- Estate Management
- People/Health & Wellbeing
- Procurement
- Travel

This has included clear procedures on the minimisation of waste and paper production. The continued promotion of the online Portal has also led to a significant reduction in printing, copying and posting of registration and renewal paperwork. A copy of NISCC's Sustainable Development Report and Plan can be found on NISCC's website, [www.niscc.info](http://www.niscc.info)

### **Positioning**

NISCC is well placed to deliver solid and reliable performance in future years given the experience of its performance in recent years, and in particular during the peak in business volumes during 2017-18. It has a sustainable and skilled workforce and solid business continuity systems in place including those required at a governance level.



.....

**Colum Conway**  
Chief Executive  
Northern Ireland Social Care Council

**Date** 27 June 2018

# Section 2

## Accountability Report

### Corporate Governance Report - Director's Report

The overall vision for the NISCC focuses on protecting the public, safeguarding vulnerable people and ensuring confidence by those who use social care; the wider public and the workforce. This vision will be achieved through genuine partnership working our stakeholders.



## **Strategic Themes, Objectives, Aim and Principles**

Through our work and the work of our partners, we expect to see the registered workforce becoming more confident and skilled in using new knowledge, applying new ways of working that focus on personalised and compassionate care.

As the regulator for social work and social care, our core activities are focused on Standards of Conduct and Practice, working to see that they are consistently applied across all areas of social work and social care practice, improving public protection and helping to improve quality and outcomes for people who use services.

**Strategic Themes** - Our work is themed around five key areas:

### **Standards**

**Putting Standards at the heart of social work and social care practice and education and training** - Setting and raising standards in social work and social care practice, education and training and ensuring these are at the heart of the work of NISCC

### **Regulation**

**Regulating the Workforce and Social Work Education and Training** – Ensuring the functions of Registration, Fitness to Practise and Regulation of Social Work education establish clear benchmarks for good social work and social care practice

### **Workforce Development**

**Developing the Social Work and Social Care Workforce** - Better outcomes for people who use social care services will be achieved by a regulated workforce that delivers safe, effective and values led care

### **Leadership**

**Promoting a Systems Leadership Approach across the Social Care Sector** - Through collaborative partnership working, facilitating new thinking and fresh perspectives to reduce harms, minimise risks and improve quality in the delivery of social care services

### **Communication and Engagement**

**Communicating, Connecting and Engaging** - Effective and meaningful communication and engagement will support the delivery of the Corporate and Business Plans

**Infrastructure** - NISCC's strategic objectives are supported by an overarching corporate objective to 'ensure NISCC has the necessary infrastructure i.e. the people, resources, governance and estate management arrangements in place to deliver its strategic objectives'.

## **The Northern Ireland Social Care Council (NISCC)**

NISCC was established in October 2001 under the Health and Personal Social Services Act (NI) 2001. It is a Non-Departmental Public Body sponsored by the Department of Health.

NISCC is helping to raise standards in social care through the registration of the social work and social care workforce and setting standards for their conduct, training and practice. In doing so, NISCC engages with a variety of stakeholders, including those who use social care services, carers, the social care workforce, employers, training providers and government agencies. NISCC also works collaboratively with its counterparts in England, Scotland, Wales and Ireland.

NISCC is a partner in Skills for Care and Development (SfCD), a Sector Skills Council responsible for social care and children's services throughout the UK. Sector Skills Councils are independent, UK-wide organisations licensed by the Department for Education and Skills to support employers in the training and development of the workforce.

NISCC is led by a Council which comprises a Chair and 12 non-Executive Members<sup>1</sup> who have responsibility for ensuring the Council's strategic policies as announced by the Minister of Health are successfully delivered. Details of the Council's structure and its membership can be found at Appendix 1 of this Annual Report.

NISCC's organisational structure is headed by a Chief Executive who is also the designated Accounting Officer. He is supported by two Directors – the Director of Registration and Corporate Services, and the Director of Regulation and Standards. NISCC's organisational structure can be found at Appendix 2.

NISCC delivers its services from Millennium House, 7<sup>th</sup> Floor, 19-25 Great Victoria Street, in Belfast.

### **Equality**

NISCC is committed to promoting equality of opportunity for all. Details of good practice and training initiatives, including those relating to disability issues are outlined in NISCC's Equality Progress Report which can be found on NISCC's website at [www.niscc.info](http://www.niscc.info). NISCC has an Equal Opportunity Policy in place that covers all aspects of equality within employment, including the obligations of the

---

<sup>1</sup> There was one Member vacancy on Council during 2016/17

organisation under disability discrimination legislation and protecting the rights and interests of Section 75 groups.

### **Staff Communication**

NISCC uses a range of methods to communicate with its staff. These include monthly team meetings which enable the sharing of corporate information together with updates on business and team performance, and team development. NISCC also holds a number of short information sharing sessions to openly discuss matters which impact on NISCC as an organisation such as funding pressures, business delivery and strategic policy directions. NISCC also produces an internal e-newsletter on a regular basis which keeps staff informed about business matters and social events.

### **Public Sector Payment Policy – Measure of Compliance**

Details of compliance with better payments practice are set out in the Annual Accounts.

### **Information Governance**

There was one near miss data breach in relation to personal information during 2017/18 which was reported to the Information Commissioners Office (ICO), who in turn investigated NISCC's management of the breach and found that NISCC managed the breach appropriately and therefore no sanction was given.

### **Complaints**

NISCC received five written complaints about its services during 2017/18. Of these four complaints were upheld and one was not. NISCC used the feedback from the complaints received to change its written communication with registrants and to review its opening hours for its customer services line.

None of the complaints received were escalated to the next internal stage for review. NISCC did not receive any complaints from the Northern Ireland Public Services Ombudsman.

## **NISCC Senior Management Team**

The Senior Management Team (SMT) is responsible for ensuring all NISCC's business areas meet corporate, governance and legislative requirements for public accountability and value for money.



**Colum Conway**  
Chief Executive



**Patricia Higgins**  
Director of Regulation  
& Standards



**Declan McAllister**  
Director of Registration  
& Corporate Services  
(in post from 17/7/17)

**Colum Conway** (Chief Executive) has overall responsibility for NISCC and works with the Chair of Council and Council Members in the delivery of NISCC's strategic direction, leadership and accountability.

**Patricia Higgins** (Director of Regulation and Standards) has responsibility for Workforce Development and Regulation.

**Declan McAllister** (Director of Registration and Corporate Services) has responsibility for the Registration function and for Corporate Services, which includes Finance, HR, IT Development, Procurement, Estates and Governance.

## NISCC Council

Council Membership reflects three broad interest groups:

**Lay People:** People who have direct experience as a user of social care services, as a carer, or of unpaid work in the voluntary or community sector.

**Registrants:** People who are social care workers, eligible for inclusion in the Social Care Register, which is maintained by NISCC.

**Stakeholders:** People who must be directly involved in the commissioning or delivery of social care services, the delivery of education and training in social care or as a representative of a trade union, professional or other regulatory body concerned with health and social care, or be a member of the legal profession.

All members are appointed in a personal capacity because of the skills and experience they possess.

The Council was chaired by Mr James Perry up to 31/3/2018. The Chair was supported by 8 Members during 2017-18:

Catherine McPhillips	Neil Bodger
Anne O'Reilly	Lee Wilson
Brenda Maitland	Julie Erskine (term ended 30/9/17)
Ruth Lavery (term ended 30/9/17)	Geraldine Campbell (term ended 30/9/17)

Mr James Perry, was appointed Chair of Council on 15 April 2013 by the Minister of Health following a public appointments exercise which was managed by the Public Appointments Unit. Mr Perry's term of appointment ended on 31 March 2018. Council Members are listed at Appendix 1.

Council meets four times a year to consider issues of strategy and accountability. The meetings of Council are held in open session and are advertised in the press and at NISCC's reception in Millennium House. The agenda and minutes of Council meetings are also published on NISCC's website [www.niscc.info](http://www.niscc.info) Council also have strategic days during the year to focus on key areas of work and strategy, for example when developing the Corporate Plan.



Council carried out a 'Board Self-Assessment' during 2017-18 to ensure itself that it demonstrates good practice in all areas of governance and accountability and developed an action plan to strengthen and improve its governance arrangements within NISCC.

NISCC holds a Register of Directors' Interests which contains the declared interests of both Executive and Non-Executive Directors. This is available to view at:

Chief Executive's Office  
NI Social Care Council  
7<sup>th</sup> Floor  
19-25 Great Victoria Street  
Belfast, BT2 7AQ,  
Tel 028 9536 2600

## NISCC Committees

Council has established two Committees to support it in the delivery of its strategic functions, each of which is chaired by a Council Member:

- **The Audit and Risk Assurance Committee** (chaired by Anne O'Reilly) assists the Council in the discharge of its functions by providing independent and objective review of NISCC's control systems, financial information to Council, risk management and information governance processes, compliance with the law, guidance and Standards of Conduct and Practice, and governance processes. The Audit Committee Report which forms part of this Annual Report can be found on page 60.
- **The Remuneration Committee** (chaired by Mr James Perry up to 31/3/18) advises the Council about appropriate remuneration and terms of service for the Chief Executive. It meets on an annual basis.

## NISCC Partnerships

The Council has established a number of Partnerships to inform and deliver its wide range of business and to provide structured arrangements for stakeholder engagement and involvement:

- **Participation Partnership** consists of people who use social care services and carers, and its role is to challenge, influence and advise the work of NISCC.
- **Registrants Forum** consists of registrants and its role is to ensure the views of Registrants are adequately represented.
- **Workforce Development Partnership** consists of employers and its role is to help develop the skills of the social care workforce.
- **Professional in Practice (PiP) Partnership** consists of employers and Higher Education Institutions (HEI's) who are key to the delivery of the PiP Framework.

## **Controls Assurance Standards**

Annually the Department of Health requires Health and Social Care organisations to achieve a target level of compliance with, and report on, a total of 22 Controls Assurance Standards, 13 of which apply to NISCC.

HSC organisations are required to undertake a self-assessment for each applicable standard.

Each year core standards of Governance, Risk Management and Financial Management are independently assessed by Internal Audit. In 2017/18 compliance with the Fire Safety Controls Assurance Standards was also subject to verification by Internal Audit.

During 2017/18, the Department expected all HSC organisations to achieve a substantive level of compliance (75-99%) in all the applicable Controls Assurance Standards.

The Standards are about identifying and applying best practice and offering assurance that we are doing our reasonable best to control the risks to the achievement of our objectives.

NISCC assessed its compliance against 13 applicable Controls Assurance Standards and the outcome of the assessment and achieved substantive compliance in all areas.

Action plans have been developed for all gaps in compliance identified in the 2017/18 assessment and will be monitored and reported to SMT, Audit and Risk Assurance Committee and Council throughout the forthcoming year.



.....  
**Colum Conway**  
Chief Executive

**Date:** 27 June 2018

## **Corporate Governance Report – Statement of Accounting Officer Responsibilities**

### **Accounts for Year Ended 31 March 2018**

Under the Health and Personal Social Services Act (Northern Ireland) 2001, the Department of Health has directed the Northern Ireland Social Care Council to prepare for each financial year a statement of accounts in the form and on the basis set out in the Accounts Direction.” The financial statements are prepared on an accruals basis and must provide a true and fair view of the state of affairs of the Northern Ireland Social Care Council, of its income and expenditure, changes in taxpayers equity and cash flows for the financial year.

In preparing the financial statements the Accounting Officer is required to comply with the requirements of Government Financial Reporting Manual (FReM) and in particular to:

- Observe the Accounts Direction issued by the Department of Health, Social Services and Public Safety including relevant accounting and disclosure requirements, and apply suitably accounting policies on a consistent basis.
- Make judgements and estimates on a reasonable basis.
- State whether applicable accounting standards as set out in FReM have been followed, and disclose and explain any material departures in the financial statements.
- Prepare the financial statements on the going concern basis, unless it is inappropriate to presume that the Northern Ireland Social Care Council will continue in operation.
- Keep proper accounting records which disclose with reasonable accuracy at any time the financial position of the Northern Ireland Social Care Council.
- Pursue and demonstrate value for money in the services of the Northern Ireland Social Care Council provides and in its use of public assets and the resources it controls.

The Permanent Secretary of the Department of Health as Principle Accounting Officer for health and personal social services resources in Northern Ireland has designated Colum Conway of the Northern Ireland Social Care Council, as the Accounting Officer for the Northern Ireland Social Care Council. The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of the public finances for which the Accounting Officer is answerable, for keeping proper records and for safeguarding the Northern Ireland Social Care Council’s assets, are set out in the Accountable Officer Memorandum, issued by the Department of Health.

## Accounts for Year Ended 31 March 2018

### Certificates of the Chair and Chief Executive

I certify that the annual accounts set out in the financial statements and notes to the accounts (pages 74-108) which I am required to prepare on behalf of Northern Ireland Social Care Council have been compiled from and are in accordance with the accounts and financial records maintained by the Northern Ireland Social Care Council and with the accounting standards and policies for HSC bodies approved by the DoH.



.....  
**Colum Conway**  
Chief Executive

**Date:** 27 June 2018

I certify that the annual accounts set out in the financial statements and notes to the accounts (pages 74-108) as prepared in accordance with the above requirements have been submitted to and duly approved by the Council.



.....  
**Paul Martin**  
Chair

**Date:** 27 June 2018



.....  
**Colum Conway**  
Chief Executive

**Date:** 27 June 2018

## **Governance Statement 2017-18**

### **1. Introduction / Scope of Responsibility**

The Northern Ireland Social Care Council (NISCC) is accountable for internal control. As Accounting Officer and Chief Executive of the Council, I have responsibility for maintaining a sound system of internal governance that supports the achievement of the organisation's policies, aims and objectives, whilst safeguarding the public funds and assets for which I am responsible in accordance with the responsibilities assigned to me by the Department of Health.

NISCC is an Arm's-Length Body, sponsored by the Department of Health and works in partnership with all the Health and Social Care organisations including the other Regional Organisations sponsored by the Department of Health.

In particular NISCC has a Memorandum of Understanding with the Regulation and Quality Improvement Authority (RQIA) to enable it to properly fulfil its role as a regulator of the social care workforce, and information sharing protocols are in place with the other Social Care Councils in England, Wales and Scotland. NISCC also works closely with CORU, the Social Care authority in the Republic of Ireland, to share best practice in regulation and registration of social workers and social care workers.

NISCC has a Management Statement and Financial Memorandum in place which sets out the strategic control framework within which NISCC is required to operate, and the conditions under which government funds are provided as detailed in Government Accounting Northern Ireland. The Accounting Officer and Council Chair provide assurance to the Department of Health at the highest level of engagement through twice-yearly Accountability Meetings, and at the same time NISCC works in partnership with the Department of Health's Government Liaison Officer to ensure operational and strategic issues are raised appropriately with the Department of Health throughout the year.

Across the HSC sector it is expected that the significant financial challenges faced will intensify and extensive budget planning work to support the 2018-19 financial plan is ongoing between NISCC and the Department of Health (DOH). However, as with other financial years NISCC remains committed to achieving financial break-even.

### **2. Compliance with Corporate Governance Best Practice**

The Council applies the principles of good practice in Corporate Governance and continues to further strengthen its governance arrangements. The Council does this by undertaking continuous assessment of its compliance with Corporate Governance best practice by the Council's completion

of an annual Board self-assessment. The Council completed its self-assessment for year ended 31 March 2018 and developed a new Action Plan which it will continue to review on a quarterly basis to ensure continual improvement in governance and best practice. The summary assessment for the Council's self-assessment is set out below.

Indicator	Council's Assessment
<b>1. Board Composition and Commitment</b>	
1.1 Board positions and size	Amber/Green
1.2 Balance and calibre of Board members	Green
1.3 Role of the Board	Green
1.4 Committees of the Board	Green
1.5 Board member commitment	Green
<b>2. Board Evaluation, Development and Learning</b>	
2.1 Effective Board level evaluation	Green
2.2 Whole Board development programme	Amber/Green
2.3 Board induction, succession and contingency planning	Green
2.4 Board member appraisal and personal development	Green
<b>3. Board Insight and Foresight</b>	
3.1 Board performance reporting	Green
3.2 Efficiency and Productivity	Green
3.3 Environmental and strategic focus	Green
3.4 Quality of Board papers and timeliness of information	Green
3.5 Assurance and risk management	Green
<b>4. Board Engagement and Involvement</b>	
4.1 External stakeholders	Green
4.2 Internal stakeholders	Green
4.3 Board profile and visibility	Green

### 3. Governance Framework

The Council provides strategic leadership to NISCC and comprises a Chair and 12\*\* Members consisting of a combination of registrants, lay members and others who are key stakeholders in social care services. Operational responsibilities are delivered by the Chief Executive. The duties and functions of the Chair and Council Members are set out in the Management Statement and Financial Memorandum and also in NISCC's Standing Orders, Scheme of Delegation and Standing Financial Instructions.

The Council reviewed the Management Statement and Financial Memorandum (MSFM) in conjunction with the DOH and formal approval was obtained in December 2017. Meetings of the Council were held in open session four times during the year and records are maintained of the Council attendance. In addition, the Council held three Strategic Planning Sessions. During 2017/18 the Council attendance was:

Chair/Council Member	Attendance at Council During 2017/18 (%)
Mr James Perry, Chair	100%
Mr Neil Bodger, Council Member	60%
Mrs Geraldine Campbell, Council Member*	66.6%
Mrs Julie Erskine, Council Member*	66.6%
Mrs Ruth Lavery, Council Member*	100%
Brenda Maitland, Council Member	80%
Catherine McPhillips, Council Member	100%
Anne O'Reilly, Council Member	100%
Lee Wilson, Council Member	100%

\* The appointments of Ruth Lavery, Julie Erskine & Geraldine Campbell ended on 30th September 2017 and therefore their attendance is based on the Council meetings they were in post to attend.

\*\* Three Council Members completed their term on 30 September 2017. Oversight and assurance responsibilities were managed between the remaining Members while new membership was recruited through the Public Appointments system. Department of Health was made aware of the reduced membership and the arrangements in place to manage the responsibilities. Additional members appointed from 1 April 2018.



Attendance at Council Strategic Days, Committees and Partnerships is set out below:

	<b>Council Strategic</b>	<b>Audit &amp; Risk Assurance Committee</b>	<b>Remuneration Committee</b>	<b>Participation Partnership</b>	<b>Workforce Development Partnership</b>	<b>Professional in Practice Partnership</b>
<b>Frequency of Meetings in 2017-18</b>	3	4	1	5	3	4
J Perry	100%	N/A	100%	N/A	N/A	N/A
N Bodger	66.6%	N/A	100%	N/A	100%	N/A
G Campbell	100%*	N/A	N/A	100%*	N/A	N/A
J Erskine	100%*	50%*	N/A	N/A	N/A	N/A
R Lavery	100%*	100%*	N/A	N/A	N/A	N/A
B Maitland	100%	100%	N/A	100%	0%**	N/A
C McPhillips	100%	N/A	N/A	N/A	N/A	100%
A O'Reilly	100%	100%	N/A	N/A	100%	N/A
Lee Wilson	100%	N/A	100%	80%	N/A	N/A

\* The appointments of Ruth Lavery, Julie Erskine & Geraldine Campbell ended on 30th September 2017 and therefore their attendance is based on the meetings they were in post to attend.

\*\* Brenda Maitland left Workforce Development Partnership in January 2018

The Council's performance is reviewed as part of the annual Board Self-Assessment and the performance appraisal system.

The Council has established two statutory Committees to support it in the delivery of its strategic functions:

- The Audit and Risk Assurance Committee is chaired by a Member of Council and assists the Council in the discharge of its functions by providing independent and objective review of NISCC's control systems, financial information to the Council, risk management processes, compliance with law, guidance and Codes of Conduct, and governance processes; and

- The Remuneration Committee is chaired by the Chair of Council and advises the Council about appropriate remuneration and terms of service for the Chief Executive.

The Audit and Risk Assurance Committee carries out an annual self-assessment and develops an action plan to address any areas where performance could be improved or enhanced.

#### **4. Business Planning, Risk Management and Fraud**

Business planning and risk management is at the heart of governance arrangements to ensure that statutory obligations and ministerial priorities are properly reflected in the management of business at all levels within the organisation.

##### **Business Planning**

NISCC has produced a four-year Corporate Plan following engagement with staff and stakeholders including, in particular, people who use social care services and carers as is described in NISCC's PPI Consultation Scheme. The Corporate Plan takes account of recent developments in social care strategy including the Minister of Health's strategy 'Health and Wellbeing 2026'. The Corporate Plan describes at a strategic level how NISCC will deliver on its overarching aim and strategic objectives as a regulator of the social care workforce and the outcomes which it expects as a result. The Corporate Plan is available on NISCC's website.

At the same time, NISCC develops an annual Business Plan which provides further detail on how NISCC will deliver its Corporate Plan, focusing on the outcomes of delivering its objectives. The same process of engagement and consultation is applied as with the development of the Corporate Plan. The Business Plan is approved by Council and ultimately by the Department of Health before being circulated and published. The Corporate Plan and Business Plan are compliant with the requirements set out in NISCC's Management Statement and Financial Memorandum. The corporate planning process is led by the Director of Registration and Corporate Services while the Chief Executive has overall responsibility for delivering the Corporate and Business Plans, and is supported by his Directors and senior team.

To give effect to the Corporate and Business Plans, NISCC develops an Operational Plan and Key Performance Indicators which also ensure that all staff can clearly understand their role in delivering NISCC's objectives and ensures their own personal and team objectives and learning plans are aligned to NISCC's business objectives. The Operational Plan and Business Plan are reviewed on a quarterly basis by Senior Managers which informs reporting to NISCC's Senior Management Team and ultimately to Council.

A Business Performance Management Report is tabled to NISCC's Council on a quarterly basis detailing how NISCC is performing against its annual Business Plan which is reviewed and scrutinised by the Council (a more detailed report is tabled to NISCC's Senior Management Team on a monthly basis). This includes financial reports and statistical data on registration, regulation, committee, corporate and workforce development outputs. During 2017/18 NISCC also developed an Evaluation Framework to assist it in ensuring that work to support the outcomes described in the Corporate Plan are on target and will deliver the expected outcome. Quarterly reports from the Evaluation Framework will form part of the reporting to NISCC's Senior Management Team and Council from 2018/19 onwards.

To better align meetings of the Council with the Performance Management Reports, Council agreed to a new timetable of meetings which enables them to receive up to date and current information immediately following each business quarter.

In addition, the Chair and the Chief Executive have accountability meetings with the Department of Health's Permanent Secretary.

Ultimately, NISCC accounts for its business performance through the production of its Annual Report and Accounts which are laid before the NI Assembly and published on NISCC's website. It also reports how it delivers against Quality 2020 in a separate Annual Quality Progress Report which is again available on NISCC's website.

## **Risk Management**

Leadership on risk is provided through NISCC's Council with delegated authority to the Audit and Risk Assurance Committee, which is chaired by a Council Member and is supported by the Director of Registration and Corporate Services. The Risk Management process seeks to identify risks in accordance with best practice as well as providing a system for embedding risk management throughout NISCC.

All staff receive training on risk management and are required to complete an e-learning module on risk management awareness and are also provided with detailed Risk Management Procedures. In addition risk management training forms part of induction for all new staff.

NISCC has been able to effectively manage its risk profile throughout the year by identifying the risk appetite relevant to the risk and its associated mitigating actions which are set out in its Corporate Risk Register.

## Risk Management Framework

NISCC ensures effective risk management is embedded as part of its culture and throughout the organisation. It has a Risk Management Strategy which describes how risks (and near misses) should be managed, elevated, and controlled, including evaluating the value of inherent and residual risks. NISCC has also developed detailed Risk Management Procedures which breaks down how to report and manage risks for all staff.

NISCC details its risks through a Corporate Risk Register, Operational Risk Register and Assurance Framework which are formally reviewed on a quarterly basis by the Risk Management Committee (chaired by the Director of Registration and Corporate Services), which in turn reports to NISCC's Senior Management Team, the Audit and Risk Assurance Committee and ultimately to Council. These are live documents which are updated throughout the year and risks are discussed and reported at all team meetings as part of this framework. NISCC is putting in place a new ICT enabled platform to better assist it in recording, monitoring and reporting on risks which will go live in 2018/19.

The Risk Management Committee is also responsible for ensuring the overarching Risk Management Strategy is reviewed on a regular basis so that it reflects all aspects of risk, governance and control.

NISCC works with Internal and External Audit to provide assurances and validation of its compliance in relation to risk management, and has a Business Continuity Plan and Strategy in place which is tested on an annual basis, with lessons learned being fed back into the overarching Risk Management Strategy. The Business Continuity Plan is tested every year and was last tested in February 2018.

## **Fraud**

The NISCC takes a zero tolerance approach to fraud in order to protect and support our key public services. We have put in place an Anti-Fraud Policy and Fraud Response Plan to outline our approach to tackling fraud, define staff responsibilities and the actions to be taken in the event of suspected or perpetrated fraud, whether originating internally or externally to the organisation. Our Fraud Liaison Officer (FLO) promotes fraud awareness, coordinated investigations in conjunction with the BSO counter Fraud and Probity Services team and provides advice to personnel on fraud reporting arrangements. All staff are provided with mandatory fraud awareness training in support of the Anti-Fraud Policy and Fraud Response Plan, which are kept under review and updated as appropriate every five years.

## 5. Information Risk

Information Risk Management is an essential part of good governance. NISCC ensures that information risk management is considered in its procedures and policies. Information Risk Management is managed within the context of NISCC's Risk Management Strategy and Information Governance Strategy.

NISCC holds a range of personal data in respect of registrants (c.39,000) and confidential data in respect of complaints against registrants. It also holds a range of personal data in respect of staff and information which supports the running of the business. NISCC maintains an Information Asset Register and Disposals Schedule which are reviewed regularly and any areas of non-compliance are brought to the attention of the Senior Information Risk Owner and Personal Data Guardian.

Specific roles in NISCC have been identified to support it in managing risks to the organisation in respect of the information it may hold. These roles include:

- Personal Data Guardian
- Senior Information Risk Owner (SIRO)
- Information Governance and Records Management Officer (IGRMO)
- Information Asset Owners (IAOs)

The Information Governance function is well embedded in the organisation and forms part of the remit of the Risk Management Committee as reflected in the Committee's Terms of Reference. The Director of Registration and Corporate Services chairs the Risk Management Committee and is also the NISCC SIRO and Data Guardian. Due to the small size of the organisation, the members of the Risk Management Committee (risk co-ordinators) are also the organisation's Information Asset Owners.

During the year, NISCC worked with Information Governance Shared Services in Business Services Organisation to put in place measures to support the introduction of the General Data Protection Regulations (GDPR) which come into effect on 25 May 2018. This included:

- The appointment of a Data Protection Officer;
- GDPR awareness training sessions for all staff;
- Review of Information Assets Register to identify information flows and sources;
- An overarching GDPR Readiness Action Plan;
- Communication and Handling Plan.

NISCC will be in a position of readiness to manage the strengthening of data protection regulations across all its functions.

NISCC has a number of policies and strategies in place that support its overall risk management agenda. These are:

- Information Governance Strategy
- Records Management Strategy
- Records Management Procedures
- Access to Information Policy
- Disclosure Policy
- Clear Desk and Screen Policy
- Data Security Breach Management Policy
- Confidentiality Policy
- Data Quality Policy
- ICT Policy

## **6. Public Stakeholder Involvement**

NISCC's engagement with service users, carers and other stakeholders has been enshrined in its structure since its inception in 2001. In addition, NISCC has a strategic objective to 'raise awareness and knowledge of the work of NISCC and ensure its work is informed and influenced by users of social care services, carers, registrants, employers and other stakeholders'.

NISCC published a Personal and Public Involvement Consultation Scheme which was developed by people who use social care services and carers, and was approved by the Council. Additionally it produced Principles of Participation, again in partnership with service users and carers.

NISCC has established a number of Partnerships to ensure inclusivity and involvement from the broadest range of people and stakeholders. These are:

- The Participation Partnership (comprising people who use social care services and carers)
- The Registrants' Forum (comprising registrants)
- The Workforce Development Partnership (comprising employers of the social care workforce)
- The Professional in Practice Partnership (comprising employers and the Higher Education Institutions (HEI's) who are key to the delivery of the PQ Framework).

These Partnerships meet regularly throughout the year and are kept informed of NISCC business developments and issues raised at these meetings are brought to the attention of Council who review the minutes of the meetings of the Partnerships. This holistic approach to engagement ensures that any risks identified by stakeholders are brought to the attention of Council.

NISCC ensures all papers presented to NISCC's Audit and Risk Assurance Committee and to Council include a cover sheet which explains to what extent stakeholders have been engaged in the development of the paper/proposal and, where appropriate, how they influenced the outcome. The Audit and Risk Assurance Committee and Council can therefore clearly challenge NISCC in how it has engaged service users, carers and other stakeholders in the development of policy and other initiatives.

## **7. Assurance**

As part of its Governance arrangements, NISCC considers the contents of both its Assurance Framework and Risk Register when identifying possible control issues.

NISCC's Standing Orders require the setting up of an Audit and Risk Assurance Committee, as directed by HSS (PDD) 8/94 to reassure Council that financial stewardship and corporate governance standards are being met. The Audit and Risk Assurance Committee maintains and reviews the effectiveness of the system control for NISCC. Full details of the Audit and Risk Assurance Committee, its role, terms of reference, and responsibilities can be found in NISCC's Standing Orders.

The Internal Audit Service for NISCC is provided by the Business Services Organisation (BSO). Internal Audit carries out its role by systematic review and evaluation of risk management, control and governance which comprises the policies, procedures and operations in place to:

- establish and monitor the achievement of NISCC's objectives;
- identify, assess and manage the risks to achieving NISCC's objectives;
- ensure the economical, effective and efficient use of resources;
- ensure compliance with established policies, procedures, laws and regulations; and
- safeguard NISCC's assets and interests from losses of all kinds, including those arising from fraud, irregularity, bribery or corruption

Council receives a wide range of papers for information and decision making purposes presented by NISCC officers. This includes a Business Performance Management Report. The papers are of suitable quality to enable NISCC Council to make informed decisions.

NISCC Council is satisfied with the quality of the information received during the year and is satisfied that the information was sufficient to enable the Council to fulfil its obligations.

## Controls Assurance Standards

NISCC assessed its compliance with the applicable Controls Assurance Standards which were defined by the Department and against which a degree of progress is expected in 2017/18.

The organisation achieved the following levels of compliance for 2017/18.

<b>Standard</b>	<b>DoH Expected Level of Compliance</b>	<b>NISCC Level of Compliance</b>	<b>Verified by Internal Audit, BSO</b>
Emergency Planning	75% - 99% (Substantive)	91	Not Assessed
Environmental Management	75% - 99% (Substantive)	90	Not Assessed
<b>Financial Management (Core Standard)</b>	75% - 99% (Substantive)	93	Assessed
Fire Safety	75% - 99% (Substantive)	87	Assessed
<b>Governance (Core Standard)</b>	75% - 99% (Substantive)	95	Assessed
Health & Safety	75% - 99% (Substantive)	93	Not Assessed
Human Resources	75% - 99% (Substantive)	86	Not Assessed
Information Communication Technology	75% - 99% (Substantive)	90	Not Assessed
Management of Purchasing and Supply	75% - 99% (Substantive)	92	Not Assessed
Information Management	75% - 99% (Substantive)	84.5	Not Assessed
<b>Risk Management (Core Standard)</b>	75% - 99% (Substantive)	96	Assessed
Security Management	75% - 99% (Substantive)	90	Not Assessed
Waste Management	75% - 99% (Substantive)	93	Not Assessed



## **8. Sources of Independent Assurance**

NISCC obtains Independent Assurance from the following sources:

- Internal Audit (as provided under a Service Level Agreement with BSO); and
- External Audit by the Northern Ireland Audit Office (NIAO).

### **Internal Audit**

NISCC utilises an internal audit function which operates to defined standards and whose work is informed by an analysis of risk to which the body is exposed and annual audit plans are based on this analysis. Internal Audit has three assessment levels of assurance; Satisfactory, Limited and Unacceptable.

In 2017/18 Internal Audit reviewed the following systems:

- Risk Management Review, providing a satisfactory assurance
- Information Governance, providing a satisfactory assurance
- Financial Review, providing a satisfactory assurance
- Performance Management Review, providing a satisfactory assurance
- Education and Training, providing a satisfactory assurance.

In her annual report, the Internal Auditor reported that NISCC's system of internal control was adequate and effective. There were no weaknesses in control identified.

### **External Audit**

The Financial Statements of NISCC are audited by the Northern Ireland Audit Office (NIAO) and the results of their audit are set out in their Annual Report to those Charged with Governance. A representative from the Northern Ireland Audit Office attends the NISCC Audit and Risk Assurance Meetings. The External Auditor is required to certify, examine and report on each of the Statements comprising the Financial Statements of the organisation. An unqualified audit opinion was provided in 2016-17.

## **9. Review of Effectiveness of the System of Internal Governance**

As Accounting Officer, I have responsibility for the review of effectiveness of the system of internal governance. My review of the effectiveness of the system of internal governance is informed by the work of the internal auditors and the executive managers within NISCC who have responsibility for the development and maintenance of the internal control framework, and comments made by the external auditors in their management letter and other reports. I have been advised on the implications of the result of my review of the effectiveness of the system of internal control by the

Council, the Audit and Risk Assurance Committee, and the Risk Management Committee, and a plan to address weaknesses and ensure continuous improvement to the system is in place.

## **10. Internal Governance Divergences**

### **Internal Control Issues now Resolved 2016/17**

In 2016/17, Recruitment Shared Services received a limited assurance from Audit however the most recent audit in 2017/18 now shows a satisfactory assurance with a number of audit recommendations having been implemented. The Payroll Shared Services model continues to show a limited assurance with significant concerns in some areas. All other audits remain satisfactory.

### **Internal Control Issues not yet Resolved 2016/17**

As indicated above the Payroll Shared Services model (which is provided through the Business Services Organisation) resulted in limited assurance being provided in 2016/17 (and again in 2017/18). Significant control issues exist with recommendations in relation to staffing and structure not yet implemented. Concerns have also been raised regarding the system's function stability.

### **Internal Control Issues 2017/18**

Payroll Shared Services has continued to receive a limited assurance with a number of significant findings. NISCC is in communication with BSO to ensure outstanding recommendations are implemented fully and evidence of service improvement is in place.

NISCC is implementing an upgrade to its Electronic Registration System which provides registration services for 40,000 registrants in Northern Ireland. The anticipated 'Go Live' takes place in July 2018. A clear project plan is in place and the project is on track for delivery.

With the increase in the number of practitioners on the Social care register, this has resulted in a 23% increase in new fitness to practise concerns in 2017/18 (311 concerns in 2016/17 compared to 384 concerns in 2017/18). NISCC is monitoring the increase in this work and will be realigning resources to manage the additional pressure.

Transformation that is taking place within Health and Social Care as part of the "Delivering Together" agenda will include work associated with raising the profile of the social care workforce. There are 32,000 social care registrants and 6,500 social work registrants at the end of March 2018 and through engagement and sharing workforce intelligence there is an increasing challenge to be met to put in place a sustainable model of social care delivery.

With regard to the wider control environment, the NISCC has in place a range of organisational controls commensurate with the current assessment of risk which is designed to ensure the efficient and effective discharge of its business in accordance with the law and Departmental direction. Every effort is made to ensure that the objectives of the NISCC are pursued in accordance with the recognised and accepted standards of public administration.

### **11. Financial Challenges**

The Northern Ireland Assembly was dissolved from 26 January 2017 with an election taking place on 2 March 2017, on which date Ministers ceased to hold office. An Executive was not formed following the 2 March 2017 election. As a consequence, the Northern Ireland Budget Act 2017 was progressed through Westminster, receiving Royal Assent on 16 November 2017, followed by the Northern Ireland Budget (Anticipation and Adjustments) Act 2018 which received Royal Assent on 28th March 2018. The authorisations, appropriations and limits in these Acts provide the authority for the 2017-18 financial year and a vote on account for the early months of the 2018-19 financial year as if they were Acts of the Northern Ireland Assembly.

### **12. EU Exit**

NISCC is actively scoping the potential impact of a 'no deal' outcome from the UK-EU negotiations on the services it provides, in line with the information provided by the Department. The process will continue to be refined as more clarity emerges on the detail of the final agreement.

### **13. Conclusion**

NISCC has a rigorous system of accountability which I can rely on as Accounting Officer to form an opinion on the probity and use of public funds, as detailed in Managing Public Money NI (MPMNI). Further to considering the accountability framework within NISCC and in conjunction with assurances given to me by the Head of Internal audit, I am content that NISCC has operated a sound system of internal governance during the period 2017/18.



.....  
**Colum Conway**  
Chief Executive  
Northern Ireland Social Care Council

**Date:** 27 June 2018

## Corporate Governance Report – Audit and Risk Assurance Committee Report

The NISCC’s Audit and Risk Assurance Committee is made up of Council Members. The Committee met on the following dates during 2017-18:

- 5 May 2017
- 21 June 2017
- 11 October 2017
- 20 February 2018

During the 2017/18 financial year, membership of the Audit and Risk Assurance Committee was as follows:

<b>APRIL 2017 – MARCH 2018</b>	<b>ATTENDANCE AT AUDIT &amp; RISK ASSURANCE COMMITTEE (%)</b>
Mrs Ruth Lavery	100%*
Mrs Julie Erskine	50%*
Mrs Anne O’Reilly	100%

*\* of available dates in relation to their period of appointment.*

Internal Audit, External Audit and representatives from the Business Services Organisation (BSO) attend the Audit and Risk Assurance Committee. The Chief Executive of NISCC, Mr Colum Conway, attends along with NISCC’s Director of Registration and Corporate Services, Mr Declan McAllister. Mr McAllister is the Executive Officer in attendance and is responsible for servicing the Audit and Risk Assurance Committee. The Government Liaison Officer (GLO) from the DoH also attends.

Membership of the Audit and Risk Assurance Committee is consistent with NISCC’s Standing Orders.

During the 2017/18 financial year, NISCC’s Audit and Risk Assurance Committee undertook the following tasks:

- Agreed an Internal Audit Plan.
- Considered an External Audit Strategy.
- Reviewed and endorsed a revised Risk Management Strategy.
- Reviewed and endorsed revised Risk Management Procedures.
- Reviewed NISCC’s Risk Management processes including the Assurance Framework.
- Ensured the production of NISCC’s Final Accounts were in accordance with relevant statutory regulations.
- Considered NISCC’s mid-year Assurance Statement.
- Reviewed a number of Internal Audit Reviews of key aspects of NISCC business during 2017/18
- Considered the Report to Those Charged with Governance.

- Reviewed NISCC's Contract Register.
- Reviewed NISCC's Controls Assurance Self-Assessment Analysis.
- Reviewed NISCC's Direct Award Contract Report for 2017/18.

As part of its remit the Audit and Risk Assurance Committee can confirm, on reviewing the processes and related documents in relation to finance, risk, risk registers, governance and audit reports, that it is able to provide assurances to Council and to the Accounting Officer in relation to all statutory and accountability obligations.

Furthermore, the Audit and Risk Assurance Committee can provide assurance to Council and the Accounting Officer on all issues relating to the Governance Statement. This is based on the information provided to the Committee from Internal Audit, External Audit and from the Executive Team. The Audit and Risk Assurance Committee endorses the Assurance Framework which captures all risks, controls and gaps in controls and mitigating actions and this is presented to Council by the Chair of the Audit and Risk Assurance Committee.

The Audit and Risk Assurance Committee can further confirm that, on an annual basis, both Internal and External Audit provide written confirmation to the Committee that all reviews performed are in accordance with applicable auditing standards. In doing so, the Chair and the Audit and Risk Assurance Committee present the final Accounts to Council and the Accounting Officer for approval. The Audit and Risk Assurance Committee, facilitated by the Head of Internal Audit, completed the National Audit Office Audit Committee Self-Assessment Checklist, which is carried-out on an annual basis. As a result, the NISCC's Audit and Risk Assurance Committee confirmed its compliance with the good practice principles.

The Audit and Risk Assurance Committee was satisfied that during 2017/18, based on the information available to it, that:

- The assurances provided to it were comprehensive and reliable, and were of a sufficient standard to inform the decision making of the Council and of the Accounting Officer.
- The assurances provided to it were suitably reflected in NISCC's Risk Management process as necessary.
- It was suitably informed of any material issues that were pertinent to the Governance Statement.
- Appropriate financial reporting and information was in place.
- The work of Internal and External Audit was of a suitable quality and their approach to their responsibilities was appropriate.

# **Remuneration and Staff Report**

## **Remuneration Report for the Year Ended 31 March 2018 (Audited)**

### **SCOPE OF THE REPORT**

The Remuneration Report summarises the Remuneration Policy of NISCC and particularly its application in connection with senior managers. The Report also describes how NISCC applies the principles of good corporate governance in relation to senior executives' remuneration in accordance with HSS(SM) 3/2001 and subsequent supplements issued by the DoH.

### **REMUNERATION COMMITTEE**

The Council, as set out in its Standing Orders, has delegated certain functions to the Remuneration Committee. The Remuneration Committee is chaired by the Chair of Council, Mr Jim Perry. The Remuneration Committee is entirely comprised of Non-Executive Directors, namely, Neil Bodger and Lee Wilson. The Remuneration Committee met in this form in November 2017.

### **REMUNERATION POLICY**

The Minister of Finance approves the pay remit for Senior Civil Service (SCS) staff. The SCS remuneration arrangements are based on a system of pay scales for each SCS grade containing a number of pay points from minima to maxima, allowing progression towards the maxima based on performance. In 2012, upon creation, there were 11 points on each scale. This was subsequently reduced to 10 points in 2014 and 9 points in 2015 to allow progression through the pay scales within a reasonable period of time.

### **SERVICE CONTRACTS**

Civil service appointments are made in accordance with the Civil Service Commissioners' Recruitment Code, which requires appointment to be on merit on the basis of fair and open competition but also includes the circumstances when appointments may otherwise be made.

Unless otherwise stated below, the officials covered by this report hold appointments which are open-ended. Early termination, other than for misconduct, would result in the individual receiving compensation as set out in the Civil Service Compensation Scheme.

Further information about the work of the Civil Service Commissioners can be found at [www.nicscommissioners.org](http://www.nicscommissioners.org)

The date of appointment for the NISCC's Executive and Non-Executive Directors, and the Chair are set out below:

#### **CHAIR**

<b>NAME</b>	<b>POSITION</b>	<b>DATE OF APPOINTMENT</b>
James Perry	Chair	15 April 2013 (term ended 31/03/18)

#### **NON-EXECUTIVE DIRECTORS**

<b>NAME</b>	<b>POSITION</b>	<b>DATE OF APPOINTMENT</b>
Neil Bodger	Council Member	18 July 2011
Geraldine Campbell	Council Member	1 October 2007 (term ended 30/09/17)
Julie Erskine	Council Member	1 October 2007 (term ended 30/09/17)
Ruth Lavery	Council Member	1 October 2007 (term ended 30/09/17)
Brenda Maitland	Council Member	1 October 2014
Catherine McPhillips	Council Member	3 November 2014
Anne O'Reilly	Council Member	1 December 2014
Lee Wilson	Council Member	1 September 2014

#### **EXECUTIVE DIRECTORS**

<b>NAME</b>	<b>POSITION</b>	<b>DATE OF APPOINTMENT</b>
Mr Colum Conway	Chief Executive	20 May 2013
Mrs Patricia Higgins	Director of Regulation and Standards	1 June 2002
Mr Declan McAllister	Director of Registration and Corporate Services	17 July 2017
Mr Mark Bradley	Director of Registration and Corporate Services	6 October 2008 (resigned 2/4/17)

#### **NOTICE PERIODS**

Three months' notice is to be provided by either party except in the event of summary dismissal. There is nothing to prevent either party waiving the right to notice or from accepting payment in lieu of notice.

#### **RETIREMENT AGE**

Currently, employees are required to retire at age 65 years and occupational pensions are normally effective from age 60 years. With effect from 1 October 2006, with the introduction of the Equality (Age) Regulations (Northern Ireland) 2006, employees are able to request to work beyond age 65 years.

## **COMPENSATION FOR PREMATURE RETIREMENT**

In accordance with the DoH circular HSS (S) 11/83 and subsequent supplements, there is provision within the HSC Superannuation Scheme for premature retirement with immediate payment of superannuation benefits and compensation for eligible employees on the grounds of:

- Efficiency of the service
- Redundancy
- Organisational change

Section 16 of the Agenda for Change Terms and Conditions Handbook (issued on 14 February 2007 under cover of the Department's Guidance Circular HSS (Afc) (4) 2007) sets out the arrangements for early retirement on the grounds of redundancy and in the interest of the service. Further Circulars were issued by the Department HSS (Afc) (6) 2007 and HSS (Afc) (5) 2008 setting out changes to the timescale for the operation of the transitional protection under these arrangements.

Under the terms of Section 16 of the Agenda for Change Terms and Conditions Handbook individuals who were members of the HSC Superannuation Scheme prior to 1 October 2006, are over 50 years of age and have at least 5 years membership of the HSC Superannuation Scheme qualify for transitional protection. Staff who qualify for transitional protection are entitled to receive what they would have received by way of pension and redundancy payment had they taken redundancy retirement on 30 September 2006. This includes enhancement of up to 10 years additional service (reduced by the number of years between September 2006 and the actual date of retirement) and a lump sum redundancy payment of up to 30 weeks pay (reduced by 30% for each year of additional service over 6  $\frac{2}{3}$  years)

Alternatively, staff made redundant who are members of the HSC Pension Scheme, have at least two years "continuous service" and two years "qualifying membership" and have reached the minimum pension age currently 50 years can opt to retire early without a reduction in their pension as an alternative to a lump sum redundancy payment of up to 24 months. In this case the cost of the early payment of the pension is paid from the lump sum redundancy payment. However if the redundancy payment is not sufficient to meet the early payment of pension cost, the employer is required to meet the additional cost.



## REPORTING OF EARLY RETIREMENT AND OTHER COMPENSATION SCHEME - EXIT PACKAGES

There were no exit packages during 2017-18 or 2016-17.

Redundancy and other departure costs have been paid in accordance with the provisions of the HSC Pension Scheme Regulations and the Compensation for Premature Retirement Regulations, statutory provisions made under the Superannuation Act 1972. Exit costs are accounted for in full in the year in which the exit package is approved and agreed and are included as operating expenses at note 4. Where early retirements have been agreed, the additional costs are met by the employing authority and not by the HSC pension scheme. Ill-health retirement costs are met by the pension scheme and are not included in the table.

### Reporting of early retirement and other compensation scheme – exit packages (Audited)

Exit package cost band	Number of compulsory redundancies		Number of other departures agreed		Total number of packages by cost band	
	2018	2017	2018	2017	2018	2017
<£10,000	-	-	-	-	-	-
£10,000-£25,000	-	-	-	-	-	-
£25,000-£50,000	-	-	-	-	-	-
£50,000-£100,000	-	-	-	-	-	-
£100,000-£150,000	-	-	-	-	-	-
£150,000-£200,000	-	-	-	-	-	-
>£200,000	-	-	-	-	-	-
<b>Total number of exit</b>	-	-	-	-	-	-
	<b>£000s</b>	<b>£000s</b>	<b>£000s</b>	<b>£000s</b>	<b>£000s</b>	<b>£000s</b>
<b>Total resource cost</b>	-	-	-	-	-	-

### Staff Benefits

Refer to pages 69 to 71

### Retirements due to ill health

During 2017-18 there were no early retirements from the NISCC on the grounds of ill-health. (2016-17: Nil).

## Senior Employees' Remuneration (Audited)

The salary, pension entitlements and the value of any taxable benefits in kind of the most senior members of the Northern Ireland Social Care Council were as follows:

Name	2017-18					2016-17				
	Salary £000s	Bonus / Performance Pay £000s	Benefits in kind (rounded to nearest £100)	Pension Benefits (rounded to nearest £1,000)	Total £000s	Salary £000s	Bonus / Performance Pay £000s	Benefits in kind (rounded to nearest £100)	Pension Benefits (rounded to nearest £1,000)	Total £000s
<b>Non-Executive Members</b>										
James Perry	15-20	-	-	-	15-20	15-20	-	-	-	15-20
Ruth Lavery*	0-5	-	-	-	0-5	5-10	-	-	-	5-10
Joseph Blake**	-	-	-	-	-	5-10	-	-	-	5-10
Julie Erskine*	0-5	-	-	-	0-5	5-10	-	-	-	5-10
Geraldine Campbell*	0-5	-	-	-	0-5	5-10	-	-	-	5-10
Neil Bodger	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Trevor Spratt**	-	-	-	-	-	5-10	-	-	-	5-10
Maire McMahon**	-	-	-	-	-	5-10	-	-	-	5-10
Lee Wilson	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Brenda Maitland	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Catherine McPhillips	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Anne O'Reilly	5-10	-	-	-	5-10	5-10	-	-	-	5-10
<b>Executive Members</b>										
Colum Conway	70-75	-	200	17	85-90	70-75	-	100	17	85-90
Mark Bradley***	-	-	-	-	-	65-70	-	200	20	85-90
Declan McAllister***	40-45 (Full Year Equivalent 55-60)	-	-	27	65-70	-	-	-	-	-
Patricia Higgins	65-70	-	100	6	70-75	65-70	-	100	13	80-85

\* Ruth Lavery, Julie Erskine and Geraldine Campbell term ended 30/9/17.

\*\* Joseph Blake, Trevor Spratt and Marie McMahon term ended 31/3/17.

\*\*\* Mark Bradley (Director of Registration and Corporate Services) left 2/4/17 and Declan McAllister was appointed 17/7/17.

## PENSIONS OF SENIOR MANAGEMENT (AUDITED)

Name	Real increase in pension and related lump sum at age 60 £000s	Total accrued pension at age 60 and related lump sum £000s	CETV at 31/03/17 £000s	CETV at 31/03/18 £000s	Real increase in CETV £000s
Colum Conway	0-2.5	5-10	65	85	17
Declan McAllister	0-2.5 plus lump sum of 0-2.5	15-20 plus lump sum of 35-40	-	284	20
Patricia Higgins	0-2.5 plus lump sum of 0-2.5	20-25 plus lump sum of 60-65	443	475	15

## Staff Report for Year Ended 31 March 2018

The average number of Whole Time Equivalent persons employed by NISCC can be found in the Remuneration and Staff Report of this Report. The cumulative sickness and absenteeism rate for NISCC for 2017-18 was 3.24 % which was below NISCC's corporate target to maintain absences at a maximum of 4%.

### Staff Composition

NISCC has 63 WTE staff – 25% of whom work part-time or compressed hours. It also has a higher percentage of females in the workforce (2/3rds are female). NISCC composition, in terms of pay band is set out below –

<b>Pay Band</b>	<b>% of Workforce</b>
<b>Band 3</b>	<b>41%</b>
<b>Band's 4/6</b>	<b>37%</b>
<b>Band's 7/8</b>	<b>17%</b>
<b>SMT</b>	<b>5%</b>

The composition of staff by function is below:

<b>Pay Band</b>	<b>% of Workforce</b>
<b>Registration</b>	<b>36%</b>
<b>Operations</b>	<b>17%</b>
<b>Fitness to Practise</b>	<b>13%</b>
<b>Workforce Development</b>	<b>13%</b>
<b>Communications</b>	<b>5%</b>
<b>Database</b>	<b>6%</b>
<b>Committee</b>	<b>5%</b>
<b>SMT</b>	<b>5%</b>

The composition of staff by gender is below :

<b>Pay Band</b>	<b>Male</b>	<b>Female</b>
<b>Band 3</b>	<b>54%</b>	<b>46%</b>
<b>Band's 4/6</b>	<b>17%</b>	<b>83%</b>
<b>Band's 7/8</b>	<b>18%</b>	<b>82%</b>
<b>SMT</b>	<b>66.5%</b>	<b>33.5%</b>
<b>Overall Workforce</b>	<b>35%</b>	<b>65%</b>

A number of the workforce are professionally qualified social workers (working across SMT, Workforce Development and Fitness to Practise) – this represents 14% of the overall NISCC workforce.

## Staff Costs (Audited)

Staff costs comprise:	2018			2017
	Permanently £	Others £	Total £	Total £
Wages and salaries	1,607,719	66,727	1,674,446	1,760,162
Social security costs	148,423	-	148,423	152,468
Other pension costs	211,092	-	211,092	214,878
<b>Sub-Total</b>	<b>1,967,234</b>	<b>66,727</b>	<b>2,033,961</b>	<b>2,127,508</b>
Capitalised staff costs	-	-	-	-
<b>Total staff costs reported in Statement of Comprehensive Expenditure</b>	<b>1,967,234</b>	<b>66,727</b>	<b>2,033,961</b>	<b>2,127,508</b>
Less recoveries in respect of outward secondments			-	-
<b>Total net costs</b>			<b>2,033,961</b>	<b>2,127,508</b>

## Average number of persons employed (Audited)

The average number of whole time equivalent persons employed during the year was as follows:

	2018			2017
	Permanently employed staff	Others	Total	Total
	No.	No.	No.	No.
Administrative and clerical	53	8	61	66
Social Services	7	-	7	7
<b>Total average number of persons employed</b>	<b>60</b>	<b>8</b>	<b>68</b>	<b>73</b>
Less average staff number in respect of outward secondments			-	-
<b>Total net average number of persons employed</b>			<b>68</b>	<b>73</b>

The staff numbers disclosed as Others in 2017-18 relate to temporary members of staff.

## **SALARY**

'Salary' includes gross salary; overtime; reserved rights to London weighting or London allowances; recruitment and retention allowances; private office allowances and any other allowance to the extent that it is subject to UK taxation and any gratia payments.

## **BENEFITS IN KIND**

The monetary value of benefits in kind covers any benefits provided by the employer and treated by HM Revenue and Customs as a taxable emolument.

## **BONUSES**

Bonuses are based on performance levels attained and are made as part of the appraisal process. Bonuses relate to the performance in the year in which they become payable to the individual. The bonuses reported in 2017-18 relate to performance in 2017-18 and the comparative bonuses reported for 2016-17 relate to the performance in 2017-18.

## **THE CASH EQUIVALENT TRANSFER VALUE (CETV)**

This is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. It is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the pension benefits they have accrued in their former scheme.

CETVs are calculated in accordance with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations 2008 and do not take account of any actual or potential reduction to benefits resulting from Lifetime Allowance Tax which may be due when pension benefits are taken.

## **THE REAL INCREASE IN THE VALUE OF THE CETV**

This is the increase in accrued pension due to the department's contributions to the AMPS, and excludes increases due to inflation and contributions paid by the Minister and is calculated using valuation factors for the start and end of the period.

Prior to October 2015, the CETV factors were calculated using a net discount rate of 3%, which was the rate set by HM Treasury for the major public service pension schemes. Following the completion of the 2014 funding valuation of the AMPS the assumptions used to calculate the scheme's factors were reviewed. The AMPS is not covered directly by the financial assumptions set by HM Treasury for other public service pension schemes, and the Trustees instead decided to adopt the financial assumptions used in the scheme's funding valuation to calculate CETVs (a net discount rate of 3.5%) rather than the HM Treasury rate. This has led to a reduction in CETVs in general and a difference between the closing CETVs reported in 2015-16, and the opening CETVs reported in 2016-17.

## Other

- There are no elements of the remuneration package which are not cash
- There is no compensation payable to former colleagues
- There are no amounts included above which are payable to third parties for services of a senior manager

There have been no awards made to past senior managers.

## Fair Pay Statement

The Hutton Fair Pay Review recommended that, from 2011-12, all public service organisations publish their top to median pay multiples each year. The DoH subsequently issued Circular HSC (F) 23/2012, setting out a requirement to disclose the relationship between the remuneration of the most highly paid director in the organisation and the median remuneration of the organisation's workforce. Following application of the guidance contained in Circular (F) 23/2012, the following can be reported:

<b>Disclosure (Audited)</b>	<b>2017-18</b>	<b>2016-17</b>	<b>2015-16</b>
Band of the Highest Paid Director's Total Remuneration	70-75	70-75	70-75
Median Total Remuneration	22,458	20,146	20,638
Ratio	3.18	3.5	3.5



.....  
**Colum Conway**  
Chief Executive  
Northern Ireland Social Care Council

**Date:** 27 June 2018

## **Section 3**

### **Accountability and Audit Report**

#### **Accountability Report – Northern Ireland Social Care Council**

#### **Accounts for the Year Ended 31 March 2018**

##### **Foreword**

These accounts for the year ended 31 March 2018 have been prepared in accordance with Schedule 1, paragraph 12 of the Health and Personal Social Services Act (Northern Ireland) 2001, in a form directed by the Department of Health, Social Services and Public Safety.

NISCC did not make any charitable donations during the year and there were no personal data related incidents requiring disclosure.

In 2017-18, mechanisms were maintained in order to addure the DoH and the public of the effective performance of NISCC in delivering its functions.

##### **Remote Contingent Liabilities (Audited)**

At 31 March 2018, NISCC had no remote contingent liabilities.

##### **Special Payments (Audited)**

There were no special payments or gifts made during the year.

##### **Losses or Special Payments over £250,000 (Audited)**

NISCC had no losses or made special payments over £250,000.

##### **Post Balance Sheet Events**

There were no post balance sheet events.



## Losses and Special Payments

Type of loss and special payment	2017-18		2016-17
	Number of Cases	£	£
<b>Cash</b>			
Cash Losses - Theft, fraud etc.	-	-	-
Cash Losses - Overpayments of salaries, wages and	-	-	-
Cash Losses - Other causes	-	-	-
	-	-	-
<b>Claims abandoned</b>			
Waived or abandoned claims	-	-	-
	-	-	-
<b>Administrative write-offs</b>			
Bad debts	-	-	-
Other	-	-	-
	-	-	-
<b>Fruitless payments</b>			
Late Payment of Commercial Debt	-	-	-
Other fruitless payments and constructive losses	-	-	-
	-	-	-
<b>Stores</b>			
Losses of accountable stores through any deliberate	-	-	-
Other stores losses	-	-	-
	-	-	-
<b>Special</b>			
Compensation payments			
- Clinical Negligence	-	-	-
- Public Liability	-	-	-
- Employers Liability	-	-	-
- Other	-	-	-
	-	-	-
Ex-gratia payments	-	-	-
Extra contractual	-	-	-
Special severance payments	-	-	-
<b>TOTAL</b>	-	-	-

As far as the Accounting Officer is aware, there is no relevant audit information of which the Trust's auditors are aware, and the Accounting Officer has taken all the steps that he ought to have taken to make himself aware of any relevant audit information and to establish that the entity's auditors are aware of that information.

The Accounting Officer confirms that the annual report and accounts as a whole is fair balanced and understandable and that he takes personal responsibility for the annual report and accounts and the judgements required for determining that it is fair, balanced and understandable.



..... **Colum Conway**, Chief Executive Date: 27 June 2018

## NORTHERN IRELAND SOCIAL CARE COUNCIL

### STATEMENT of COMPREHENSIVE NET EXPENDITURE for the year ended 31 March 2018

This account summarises the expenditure and income generated and consumed on an accruals basis. It also includes other comprehensive income and expenditure, which includes changes to the values of non-current assets and other financial instruments that cannot yet be recognised as income or expenditure.

	NOTE	2018 £	2017 £
Income from activities	4.1	-	-
Other Income (Excluding interest)	4.2	1,477,356	1,238,813
Deferred income	4.3	-	-
<b>Total operating income</b>		<b>1,477,356</b>	<b>1,238,813</b>
<b>Expenditure</b>			
Staff costs	3	(2,033,961)	(2,127,508)
Purchase of goods and services	3	(33,451)	(25,977)
Depreciation, amortisation and impairment charges	3	(112,147)	(124,247)
Provision expense	3	-	-
Other expenditure	3	(2,088,000)	(1,695,362)
<b>Total operating expenditure</b>		<b>(4,267,559)</b>	<b>(3,973,094)</b>
<b>Net Expenditure</b>		<b>(2,790,203)</b>	<b>(2,734,281)</b>
Finance income	4.2	-	-
Finance expense	3	-	-
<b>Net expenditure for the year</b>		<b>(2,790,203)</b>	<b>(2,734,281)</b>
Revenue Resource Limit (RRL) received from DoH	24.1	2,801,741	2,745,471
<b>Surplus/(Deficit) against RRL</b>		<b>11,538</b>	<b>11,190</b>
<b>OTHER COMPREHENSIVE EXPENDITURE</b>			
	NOTE	2018 £	2017 £
<b>Items that will not be reclassified to net operating costs:</b>			
Net gain/(loss) on revaluation of property, plant & equipment	5.1/8/5.2/8	-	-
Net gain/(loss) on revaluation of intangibles	6.1/8/6.2/8	5,262	10,986
Net gain/(loss) on revaluation of financial instruments	7/8	-	-
<b>Items that may be reclassified to net operating costs:</b>			
Net gain/(loss) on revaluation of investments		-	-
<b>TOTAL COMPREHENSIVE EXPENDITURE for the year ended 31 March 2018</b>		<b>(2,784,941)</b>	<b>(2,723,295)</b>

The notes on pages 78-108 form part of these accounts.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## STATEMENT of FINANCIAL POSITION as at 31 March 2018

This statement presents the financial position of the NISCC. It comprises three main components: assets owned or controlled; liabilities owed to other bodies; and equity, the remaining value of the entity.

	NOTE	2018		2017	
		£	£	£	£
<b>Non Current Assets</b>					
Property, plant and equipment	5.1/5.2	47,191		56,074	
Intangible assets	6.1/6.2	554,115		257,839	
Financial assets	7	-		-	
Trade and other receivables	12	-		-	
Other current assets	12	-		-	
<b>Total Non Current Assets</b>			<b>601,306</b>		<b>313,913</b>
<b>Current Assets</b>					
Assets classified as held for sale	9	-		-	
Inventories	10	-		-	
Trade and other receivables	12	17,468		56,404	
Other current assets	12	63,402		42,382	
Intangible current assets	12	-		-	
Financial assets	7	-		-	
Cash and cash equivalents	11	50,642		62,439	
<b>Total Current Assets</b>			<b>131,512</b>		<b>161,225</b>
<b>Total Assets</b>			<b>732,818</b>		<b>475,138</b>
<b>Current Liabilities</b>					
Trade and other payables	13	(1,096,644)		(607,264)	
Other liabilities	13	-		-	
Intangible current liabilities	13	-		-	
Financial liabilities	7	-		-	
Provisions	15	-		-	
<b>Total Current Liabilities</b>			<b>(1,096,644)</b>		<b>(607,264)</b>
<b>Total assets less current liabilities</b>			<b>(363,826)</b>		<b>(132,126)</b>
<b>Non Current Liabilities</b>					
Provisions	15	-		-	
Other payables > 1 yr.	13	-		-	
Financial liabilities	7	-		-	
<b>Total Non Current Liabilities</b>			<b>-</b>		<b>-</b>
<b>Total assets less total liabilities</b>			<b>(363,826)</b>		<b>(132,126)</b>
<b>Taxpayers' Equity and other reserves</b>					
Revaluation Reserve		32,164		26,902	
SoCNE Reserve		(395,990)		(159,028)	
<b>Total equity</b>			<b>(363,826)</b>		<b>(132,126)</b>

The financial statements on pages 74-108 were approved by the Board on 27 June 2018 and were signed on its behalf by:



.....  
**Colum Conway**, Chief Executive  
 Date 27 June 2018



.....  
**Paul Martin**, Chair  
 Date 27 June 2018

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## STATEMENT of CASH FLOWS for the year ended 31 March 2018

The Statement of Cash Flows shows the changes in cash and cash equivalents of the NISCC during the reporting period. The statement shows how the NISCC generates and uses cash and cash equivalents by classifying cash flows as operating, investing and financing activities. The amount of net cash flows arising from operating activities is a key indicator of service costs and the extent to which these operations are funded by way of income from the recipients of services provided by the NISCC. Investing activities represent the extent to which cash inflows and outflows have been made for resources which are intended to contribute to the NISCC's future public service delivery.

	NOTE	2018 £	2017 £
<b>Cash flows from operating activities</b>			
Net surplus after interest/Net operating expenditure		(2,790,203)	(2,734,281)
Adjustments for non cash costs		121,497	132,747
(Increase)/decrease in trade and other receivables		17,916	(65,779)
<i>Less movements in receivables relating to items not passing through the NEA</i>			
Movements in receivables relating to the sale of property, plant & equipment		-	-
Movements in receivables relating to the sale of intangibles		-	-
Movements in receivables relating to finance leases		-	-
Movements in receivables relating to PFI and other service concession arrangement contracts		-	-
(Increase)/decrease in inventories		-	-
Increase/(decrease) in trade payables		489,380	(18,513)
<i>Less movements in payables relating to items not passing through the NEA</i>			
Movements in payables relating to the purchase of property, plant & equipment		16,652	8,253
Movements in payables relating to the purchase of intangibles		(382,060)	50,400
Movements in payables relating to finance leases		-	-
Movements on payables relating to PFI and other service concession arrangement contracts		-	-
Use of provisions	15	-	-
<b>Net cash inflow/(outflow) from operating activities</b>		<u>(2,526,818)</u>	<u>(2,627,173)</u>
<b>Cash flows from investing activities</b>			
(Purchase of property, plant & equipment)	5	(29,620)	(24,905)
(Purchase of intangible assets)	6	-	(50,400)
Proceeds of disposal of property, plant & equipment		-	-
Proceeds on disposal of intangibles		-	-
Proceeds on disposal of assets held for resale		-	-
<b>Net cash outflow from investing activities</b>		<u>(29,620)</u>	<u>(75,305)</u>
<b>Cash flows from financing activities</b>			
Grant in aid		2,544,641	2,728,200
Cap element of payments - finance leases and on balance sheet (SoFP) PFI and other service concession arrangements		-	-
<b>Net financing</b>		<u>2,544,641</u>	<u>2,728,200</u>
<b>Net increase (decrease) in cash &amp; cash equivalents in the period</b>		(11,797)	25,722
<b>Cash &amp; cash equivalents at the beginning of the period</b>	11	62,439	36,717
<b>Cash &amp; cash equivalents at the end of the period</b>	11	<u>50,642</u>	<u>62,439</u>

The notes on pages 78-108 form part of these accounts.

## NORTHERN IRELAND SOCIAL CARE COUNCIL

### STATEMENT of CHANGES in TAXPAYERS EQUITY for the year ended 31 March 2018

This statement shows the movement in the year on the different reserves held by NISCC, analysed into 'Statement of Comprehensive Net Expenditure Reserve' (i.e. those reserves that reflect a contribution from the Department of Health). The Revaluation Reserve reflects the change in asset values that have not been recognised as income or expenditure. The SoCNE Reserve represents the total assets less liabilities of the NISCC, to the extent that the total is not represented by other reserves and financing items.

	NOTE	SoCNE Reserve £	Revaluation Reserve £	Total £
<b>Balance at 31 March 2016</b>		<b>(161,447)</b>	<b>15,916</b>	<b>(145,531)</b>
<b>Changes in Taxpayers Equity 2016-17</b>				
Grant from DoH		2,728,200	-	2,728,200
Other reserves movements including transfers		-	-	-
(Comprehensive expenditure for the year)		(2,734,281)	10,986	(2,723,295)
Transfer of asset ownership		-	-	-
Non cash charges - auditors remuneration	3	8,500	-	8,500
<b>Balance at 31 March 2017</b>		<b>(159,028)</b>	<b>26,902</b>	<b>(132,126)</b>
<b>Changes in Taxpayers Equity 2017-18</b>				
Grant from DoH		2,544,641	-	2,544,641
Other reserves movements including transfers		-	-	-
(Comprehensive expenditure for the year)		(2,790,203)	5,262	(2,784,941)
Transfer of asset ownership		-	-	-
Non cash charges - auditors remuneration	3	8,600	-	8,600
<b>Balance at 31 March 2018</b>		<b>(395,990)</b>	<b>32,164</b>	<b>(363,826)</b>

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

#### 1. Authority

These accounts have been prepared in a form determined by the Department of Health based on guidance from the Department of Finance's Financial Reporting manual (FReM) and in accordance with the requirements of Article 90(2) (a) of the Health and Personal Social Services (Northern Ireland) Order 1972 No 1265 (NI 14) as amended by Article 6 of the Audit and Accountability (Northern Ireland) Order 2003.

The accounting policies follow IFRS to the extent that it is meaningful and appropriate to the Northern Ireland Social Care Council (the "NISCC"). Where a choice of accounting policy is permitted, the accounting policy which has been judged to be most appropriate to the particular circumstances of the NISCC for the purpose of giving a true and fair view has been selected. The NISCC's accounting policies have been applied consistently in dealing with items considered material in relation to the accounts, unless otherwise stated.

#### 1.1 Accounting convention

These accounts have been prepared under the historical cost convention modified to account for the revaluation of property, plant and equipment.

#### 1.2 Currency

These accounts are presented in UK Pounds sterling.

#### 1.3 Property, Plant and Equipment

Property, plant and equipment assets comprise Land, Buildings, Dwellings, Transport Equipment, Plant & Machinery, Information Technology, Furniture & Fittings, and Assets under construction.

##### Recognition

Property, plant and equipment must be capitalised if:

- it is held for use in delivering services or for administrative purposes;
- it is probable that future economic benefits will flow to, or service potential will be supplied to, the entity;
- it is expected to be used for more than one financial year;
- the cost of the item can be measured reliably; and
- the item has cost of at least £5,000; or
- Collectively, a number of items have a cost of at least £5,000 and individually have a cost of more than £1,000, where the assets are functionally interdependent, they had broadly simultaneous purchase dates, are anticipated to have simultaneous disposal dates and are under single managerial control; or
- Items form part of the initial equipping and setting-up cost of a new building, ward or unit, irrespective of their individual or collective cost.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

On initial recognition property, plant and equipment are measured at cost including any expenditure such as installation, directly attributable to bringing them into working condition. Items classified as “under construction” are recognised in the Statement of Financial Position to the extent that money has been paid or a liability has been incurred.

#### **Valuation of Land and Buildings**

Land and buildings are carried at the last professional valuation, in accordance with the Royal Institute of Chartered Surveyors (Statement of Asset Valuation Practice) Appraisal and Valuation Standards insofar as these are consistent with the specific needs of the HSC.

The last valuation was carried out on 31 January 2016 by Land and Property Services (LPS) which is an independent executive body within the Department of Finance. The valuers are qualified to meet the ‘Member of Royal Institution of Chartered Surveyors’ (MRICS) standard.

Professional revaluations of land and buildings are undertaken at least once in every five year period and are revalued annually, between professional valuations, using indices provided by LPS.

Land and buildings used for the Arms Length Body (NISCC) services or for administrative purposes are stated in the statement of financial position at their revalued amounts, being the fair value at the date of revaluation less any subsequent accumulated depreciation and impairment losses.

Fair values are determined as follows:

- Land and non-specialised buildings – open market value for existing use;
- Specialised buildings – depreciated replacement cost; and
- Properties surplus to requirements – the lower of open market value less any material directly attributable selling costs, or book value at date of moving to non-current assets.

#### **Modern Equivalent Asset**

DoF has adopted a standard approach to depreciated replacement cost valuations based on modern equivalent assets and, where it would meet the location requirements of the service being provided, an alternative site can be valued. Land and Property Services (LPS) have included this requirement within the latest valuation.

#### **Assets Under Construction (AUC)**

Properties in the course of construction for service or administration purposes are carried at cost, less any impairment loss. Assets are revalued and depreciation commences when they are brought into use.

#### **Short Life Assets**

Short life assets are not indexed. Short life is defined as a useful life of up to and including 5 years. Short life assets are carried at depreciated historic cost as this is not considered to be materially different from fair value and are depreciated over their useful life.

Where estimated life of fixtures and equipment exceed 5 years, suitable indices will be applied each year and depreciation will be based on indexed amount.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

#### Revaluation Reserve

An increase arising on revaluation is taken to the revaluation reserve except when it reverses an impairment for the same asset previously recognised in expenditure, in which case it is credited to expenditure to the extent of the decrease previously charged there. A revaluation decrease is recognised as an impairment charged to the revaluation reserve to the extent that there is a balance on the reserve for the asset and, thereafter, to expenditure.

#### 1.4 Depreciation

No depreciation is provided on freehold land since land has unlimited or a very long established useful life. Items under construction are not depreciated until they are commissioned. Properties that are surplus to requirements and which meet the definition of “non-current assets held for sale” are also not depreciated.

Otherwise, depreciation is charged to write off the costs or valuation of property, plant and equipment and similarly, amortisation is applied to intangible non-current assets, less any residual value, over their estimated useful lives, in a manner that reflects the consumption of economic benefits or service potential of the assets. Assets held under finance leases are also depreciated over the lower of their estimated useful lives and the terms of the lease. The estimated useful life of an asset is the period over which the NISCC expects to obtain economic benefits or service potential from the asset. Estimated useful lives and residual values are reviewed each year end, with the effect of any changes recognised on a prospective basis. The following asset lives have been used.

<b>Asset Type</b>	<b>Asset Life</b>
Freehold Buildings	25 – 60 years
Leasehold property	Remaining period of lease
IT Assets	3 – 10 years
Intangible assets	3 – 10 years
Other Equipment	3 – 15 years

#### 1.5 Impairment loss

If there has been an impairment loss due to a general change in prices, the asset is written down to its recoverable amount, with the loss charged to the revaluation reserve to the extent that there is a balance on the reserve for the asset and, thereafter, to expenditure within the Statement of Comprehensive Net Expenditure. If the impairment is due to the consumption of economic benefits the full amount of the impairment is charged to the Statement of Comprehensive Net Expenditure and an amount up to the value of the impairment in the revaluation reserve is transferred to the Statement of Comprehensive Net Expenditure Reserve. Where an impairment loss subsequently reverses, the carrying amount of the asset is increased to the revised estimate of the recoverable amount but capped at the amount that would have been determined had there been no initial impairment loss. The reversal of the impairment loss is credited firstly to the Statement of Comprehensive Net Expenditure to the extent of the decrease previously charged there and thereafter to the revaluation reserve.



# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

#### 1.6 Subsequent expenditure

Where subsequent expenditure enhances an asset beyond its original specification, the directly attributable cost is capitalised. Where subsequent expenditure which meets the definition of capital restores the asset to its original specification, the expenditure is capitalised and any existing carrying value of the item replaced is written-out and charged to operating expenses.

The overall useful life of the NISCC's buildings takes account of the fact that different components of those buildings have different useful lives. This ensures that depreciation is charged on those assets at the same rate as if separate components had been identified and depreciated at different rates.

#### 1.7 Intangible assets

Intangible assets includes any of the following held - software, licences, trademarks, websites, development expenditure, Patents, Goodwill and intangible Assets under Construction. Software that is integral to the operating of hardware, for example an operating system is capitalised as part of the relevant item of property, plant and equipment. Software that is not integral to the operation of hardware, for example application software, is capitalised as an intangible asset. Expenditure on research is not capitalised: it is recognised as an operating expense in the period in which it is incurred. Internally-generated assets are recognised if, and only if, all of the following have been demonstrated:

- the technical feasibility of completing the intangible asset so that it will be available for use;
- the intention to complete the intangible asset and use it;
- the ability to sell or use the intangible asset;
- how the intangible asset will generate probable future economic benefits or service potential;
- the availability of adequate technical, financial and other resources to complete the intangible asset and sell or use it; and
- the ability to measure reliably the expenditure attributable to the intangible asset during its development.

#### Recognition

Intangible assets are non-monetary assets without physical substance, which are capable of sale separately from the rest of the NISCC's business or which arise from contractual or other legal rights. Intangible assets are considered to have a finite life. They are recognised only when it is probable that future economic benefits will flow to, or service potential be provided to, the NISCC; where the cost of the asset can be measured reliably. All single items over £5,000 in value must be capitalised while intangible assets which fall within the grouped asset definition must be capitalised if their individual value is at least £1,000 each and the group is at least £5,000 in value. The amount recognised for internally-generated intangible assets is the sum of the expenditure incurred from the date of commencement of the intangible asset, until it is complete and ready for use.

Intangible assets acquired separately are initially recognised at fair value. Following initial recognition, intangible assets are carried at fair value by reference to an active market, and as no active market currently exists depreciated replacement cost has been used as fair value.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

#### 1.8 Non-current assets held for sale

Non-current assets are classified as held for sale if their carrying amount will be recovered principally through a sale transaction rather than through continuing use. In order to meet this definition IFRS 5 requires that the asset must be immediately available for sale in its current condition and that the sale is highly probable. A sale is regarded as highly probable where an active plan is in place to find a buyer for the asset and the sale is considered likely to be concluded within one year. Non-current assets held for sale are measured at the lower of their previous carrying amount and fair value, less any material directly attributable selling costs. Fair value is open market value, where one is available, including alternative uses.

Assets classified as held for sale are not depreciated.

The profit or loss arising on disposal of an asset is the difference between the sale proceeds and the carrying amount. The profit from sale of land which is a non depreciating asset is recognised within income. The profit from sale of a depreciating asset is shown as a reduced expense. The loss from sale of land or from any depreciating assets is shown within operating expenses. On disposal, the balance for the asset on the revaluation reserve is transferred to the Statement of Comprehensive Net Expenditure Reserve.

Property, plant or equipment that is to be scrapped or demolished does not qualify for recognition as held for sale. Instead, it is retained as an operational asset and its economic life is adjusted. The asset is de-recognised when it is scrapped or demolished.

#### 1.9 Inventories

Inventories are valued at the lower of cost and net realisable value. This is considered to be a reasonable approximation to fair value due to the high turnover of stocks.

#### 1.10 Income

Operating Income relates directly to the operating activities of the NISCC and is recognised when, and to the extent that, performance occurs, and is measured at the fair value of the consideration receivable.

##### **Grant in aid**

Funding received from other entities, including the Department of Health are accounted for as grant in aid and are reflected through the Statement of Comprehensive Net Expenditure Reserve.

#### 1.11 Investments

The NISCC does not have any investments.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

#### 1.12 Other expenses

Other operating expenses for goods or services are recognised when, and to the extent that, they have been received. They are measured at the fair value of the consideration payable.

#### 1.13 Cash and cash equivalents

Cash is cash in hand and deposits with any financial institution repayable without penalty on notice of not more than 24 hours. Cash equivalents are investments that mature in 3 months or less from the date of acquisition and that are readily convertible to known amounts of cash with insignificant risk of change in value.

#### 1.14 Leases

Leases are classified as finance leases when substantially all the risks and rewards of ownership are transferred to the lessee. All other leases are classified as operating leases.

##### **The NISCC as lessee**

Property, plant and equipment held under finance leases are initially recognised, at the inception of the lease, at fair value or, if lower, at the present value of the minimum lease payments, with a matching liability for the lease obligation to the lessor. Lease payments are apportioned between finance charges and reduction of the lease obligation so as to achieve a constant rate on interest on the remaining balance of the liability. Finance charges are recognised in calculating the NISCC's surplus/deficit.

Operating lease payments are recognised as an expense on a straight-line basis over the lease term. Lease incentives are recognised initially as a liability and subsequently as a reduction of rentals on a straight-line basis over the lease term.

Contingent rentals are recognised as an expense in the period in which they are incurred.

Where a lease is for land and buildings, the land and building components are separated. Leased land may be either an operating lease or a finance lease depending on the conditions in the lease agreement and following the general guidance set out in IAS 17. Leased buildings are assessed as to whether they are operating or finance leases.

##### **The NISCC as lessor**

Amounts due from lessees under finance leases are recorded as receivables at the amount of the NISCC's net investment in the leases. Finance lease income is allocated to accounting periods so as to reflect a constant periodic rate of return on the NISCC's net investment outstanding in respect of the leases.

Rental income from operating leases is recognised on a straight-line basis over the term of the lease. Initial direct costs incurred in negotiating and arranging an operating lease are added to the carrying amount of the leased asset and recognised on a straight-line basis over the lease term.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

#### 1.15 Private Finance Initiative (PFI) transactions

The NISCC has had no PFI transactions during the year.

#### 1.16 Financial instruments

- Financial assets

Financial assets are recognised on the balance sheet when the NISCC becomes party to the financial instrument contract or, in the case of trade receivables, when the goods or services have been delivered. Financial assets are derecognised when the contractual rights have expired or the asset has been transferred.

Financial assets are initially recognised at fair value.

- Financial liabilities

Financial liabilities are recognised on the balance sheet when the NISCC becomes party to the contractual provisions of the financial instrument or, in the case of trade payables, when the goods or services have been received. Financial liabilities are de-recognised when the liability has been discharged, that is, the liability has been paid or has expired.

Financial liabilities are initially recognised at fair value.

- Financial risk management

IFRS 7 requires disclosure of the role that financial instruments have had during the period in creating or changing the risks a body faces in undertaking its activities. Because of the relationships with HSC Commissioners, and the manner in which they are funded, financial instruments play a more limited role within the NISCC in creating risk than would apply to a non public sector body of a similar size, therefore the NISCC are not exposed to the degree of financial risk faced by business entities.

The NISCC have limited powers to borrow or invest surplus funds and financial assets and liabilities are generated by day to day operational activities rather than being held to change the risks facing the NISCC in undertaking activities. Therefore the HSC is exposed to little credit, liquidity or market risk.

- Currency risk

The NISCC is principally a domestic organisation with the great majority of transactions, assets and liabilities being in the UK and Sterling based. The NISCC has no overseas operations. The NISCC therefore has low exposure to currency rate fluctuations.

- Interest rate risk

The NISCC has limited powers to borrow or invest and therefore has low exposure to interest rate fluctuations.

- Credit risk

Because the majority of the NISCC's income comes from contracts with other public sector bodies, the NISCC has low exposure to credit risk.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

- Liquidity risk

Since the NISCC receives the majority of its funding through its principal Commissioner which is voted through the Assembly, it is therefore not exposed to significant liquidity risks.

#### 1.17 Provisions

The NISCC had no provisions at either 31 March 2018 or 31 March 2017.

#### 1.18 Contingencies

The NISCC had no contingent assets or liabilities at either 31 March 2018 or 31 March 2017.

#### 1.19 Employee benefits

##### Short-term employee benefits

Under the requirements of IAS 19: Employee Benefits, staff costs must be recorded as an expense as soon as the organisation is obligated to pay them. This includes the cost of any untaken leave that has been earned at the year end. This cost has been determined using individual's salary costs applied to their unused leave balances determined from a report of the unused annual leave balance as at 31 March 2018. It is not anticipated that the level of untaken leave will vary significantly from year to year. [Untaken flexi leave is estimated to be immaterial to the NISCC and has not been included].

##### Retirement benefit costs

Past and present employees are covered by the provisions of the HSC Superannuation Scheme.

The NISCC participates in the HSC Superannuation Scheme. Under this multi-employer defined benefit scheme both the NISCC and employees pay specified percentages of pay into the scheme and the liability to pay benefit falls to the DoH. The NISCC is unable to identify its share of the underlying assets and liabilities in the scheme on a consistent and reliable basis.

The costs of early retirements are met by the NISCC and charged to the Statement of Comprehensive Net Expenditure at the time the NISCC commits itself to the retirement.

As per the requirements of IAS 19, full actuarial valuations by a professionally qualified actuary are required at intervals not exceeding four years. The actuary reviews the most recent actuarial valuation at the statement of financial position date and updates it to reflect current conditions. The 2016 valuation for the HSC Pension scheme updated to reflect current financial conditions (and a change in financial assumption methodology) will be used in 2017-18 accounts.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

#### 1.20 Reserves

##### **Statement of Comprehensive Net Expenditure Reserve**

Accumulated surpluses are accounted for in the Statement of Comprehensive Net Expenditure Reserve.

##### **Revaluation Reserve**

The Revaluation Reserve reflects the unrealised balance of cumulative indexation and revaluation adjustments to assets other than donated assets.

#### 1.21 Value Added Tax

Where output VAT is charged or input VAT is recoverable, the amounts are stated net of VAT. Irrecoverable VAT is charged to the relevant expenditure category or included in the capitalised purchase cost of fixed assets.

#### 1.22 Third party assets

Assets belonging to third parties (such as money held on behalf of patients) are not recognised in the accounts since the NISCC has no beneficial interest in them. Details of third party assets are given in Note 23 to the accounts.

#### 1.23 Government Grants

The note to the financial statements distinguishes between grants from UK government entities and grants from European Union.

#### 1.24 Losses and Special Payments

Losses and special payments are items that the Assembly would not have contemplated when it agreed funds for the health service or passed legislation. By their nature they are items that ideally should not arise. They are therefore subject to special control procedures compared with the generality of payments. They are divided into different categories, which govern the way that individual cases are handled.

Losses and special payments are charged to the relevant functional headings in expenditure on an accruals basis, including losses which would have been made good through insurance cover had HSC bodies not been bearing their own risks (with insurance premiums then being included as normal revenue expenditure). However, the note on losses and special payments is compiled directly from the losses and compensations register which reports amounts on an accruals basis with the exception of provisions for future losses.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### STATEMENT OF ACCOUNTING POLICIES

#### **1.25 Accounting Standards that have been issued but have not yet been adopted**

Under IAS 8 there is a requirement to disclose those standards issued but not yet adopted.

'The IASB issued new and amended standards (IFRS 10, IFRS 11 & IFRS 12) that affect the consolidation and reporting of subsidiaries, associates and joint ventures. These standards were effective with EU adoption from 1 January 2014.

Accounting boundary IFRS' are currently adapted in the FReM so that the Westminster departmental accounting boundary is based on ONS control criteria, as designated by Treasury. A similar review in NI, which will bring NI departments under the same adaptation, has been carried out and the resulting recommendations were agreed by the Executive in December 2017. With effect from 2020-21, the accounting boundary for departments will change and there will also be an impact on departments around the disclosure requirements under IFRS 12. ALBs apply IFRS in full and their consolidation boundary may change as a result of the new Standards.'

Management consider that any other new accounting policies issued but not yet adopted are unlikely to have a significant impact on the accounts in the period of the initial application.

#### **1.26 Going Concern**

In addition, due to the manner in which the NISCC is funded, the statement of financial position will show a negative position. In line with FReM, sponsored entities such as the PHA would show total net liabilities, should prepare financial statements on a going concern basis. The cash required to discharge these net liabilities will be requested from the Department when they fall due and is shown in the Statement of Changes in Taxpayers' Equity.

## **NORTHERN IRELAND SOCIAL CARE COUNCIL**

### **NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

#### **NOTE 2 ANALYSIS OF NET EXPENDITURE BY SEGMENT**

The core business and strategic direction of the Northern Ireland Social Care Council is to protect the public through the registration and regulation of the social care workforce and to regulate the training for social workers.

The Board acts as the Chief Operating Decision Maker and receives financial information on the Council as a whole and makes decisions on this basis. Hence, it is appropriate that the Council reports on a single operational segment basis.



# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### NOTE 3 EXPENDITURE

	2018	2017
	£	£
<b>Operating expenses are as follows:-</b>		
Staff costs: <sup>1</sup>		
Wages and Salaries	1,674,446	1,760,162
Social security costs	148,423	152,468
Other pension costs	211,092	214,878
Revenue grants to voluntary organisations	648,386	493,564
Supplies and services – general	33,451	25,977
Establishment	634,483	557,466
Transport	-	-
Premises	553,488	454,149
Interest charges	-	-
Miscellaneous	50,296	34,448
BSO Services	191,997	147,235
<b>Total Operating Expenses</b>	<u>4,146,062</u>	<u>3,840,347</u>
<b>Non cash items</b>		
Depreciation	21,101	26,765
Amortisation	91,046	96,092
Impairments	-	1,390
(Profit) on disposal of property, plant & equipment (including land)	-	-
(Profit) on disposal of intangibles	-	-
Loss on disposal of property, plant & equipment (including land)	750	-
Loss on disposal of intangibles	-	-
Increase / Decrease in provisions (provision provided for in year less any release)	-	-
Cost of borrowing provisions (unwinding of discount on provisions)	-	-
Auditors remuneration	8,600	8,500
<b>Total non cash items</b>	<u>121,497</u>	<u>132,747</u>
<b>Total</b>	<u><u>4,267,559</u></u>	<u><u>3,973,094</u></u>

<sup>1</sup> Further detailed analysis of staff costs is located in the Staff Report on page 68 within the Accountability Report.

During the year the NISCC purchased no non audit services from its external auditor (NIAO) (2016/17: £Nil).

## NORTHERN IRELAND SOCIAL CARE COUNCIL

### NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

#### NOTE 4 INCOME

##### 4.1 Income from Activities

The NISCC had no income from activities in 2017/18 and 2016/17.

##### 4.2 Other Operating Income

	2018	2017
	£	£
Other income from non-patient services	1,477,356	1,238,813
Seconded staff	-	-
Charitable and other contributions to expenditure	-	-
Donations / Government Grant / Lottery Funding for non current assets	-	-
Profit on disposal of land	-	-
Interest receivable	-	-
<b>TOTAL INCOME</b>	<b><u>1,477,356</u></b>	<b><u>1,238,813</u></b>

##### 4.3 Deferred income

The NISCC had no income released from conditional grants in 2017/18 and 2016/17.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### NOTE 5.1 Property, plant & equipment - year ended 31 March 2018

	Land £	Buildings (excluding dwellings) £	Dwellings £	Assets under Construction £	Plant and Machinery (Equipment) £	Transport Equipment £	Information Technology (IT) £	Furniture and Fittings £	Total £
<b>Cost or Valuation</b>									
At 1 April 2017	-	-	-	-	20,406	-	182,522	-	202,928
Indexation	-	-	-	-	-	-	-	-	-
Additions	-	-	-	-	-	-	12,968	-	12,968
Donations / Government grant / Lottery Funding	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to revaluation reserve	-	-	-	-	-	-	-	-	-
Reversal of impairments (indexn)	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	(13,996)	-	(44,491)	-	(58,487)
At 31 March 2018	-	-	-	-	<b>6,410</b>	-	<b>150,999</b>	-	<b>157,409</b>

#### Depreciation

At 1 April 2017	-	-	-	-	20,406	-	126,448	-	146,854
Indexation	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to the revaluation reserve	-	-	-	-	-	-	-	-	-
Reversal of impairments (indexn)	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	(13,996)	-	(43,741)	-	(57,737)
Provided during the year	-	-	-	-	-	-	21,101	-	21,101
At 31 March 2018	-	-	-	-	<b>6,410</b>	-	<b>103,808</b>	-	<b>110,218</b>

**NORTHERN IRELAND SOCIAL CARE COUNCIL**

**NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

**NOTE 5.1 (continued) Property, plant & equipment- year ended 31 March 2018**

	Land £	Buildings (excluding dwellings) £	Dwellings £	Assets under Construction £	Plant and Machinery (Equipment) £	Transport Equipment £	Information Technology (IT) £	Furniture and Fittings £	Total £
<b>Carrying Amount</b> At 31 March 2018	-	-	-	-	-	-	47,191	-	47,191
At 31 March 2017	-	-	-	-	-	-	56,074	-	56,074

**Asset financing**

Owned	-	-	-	-	-	-	47,191	-	47,191
Finance leased	-	-	-	-	-	-	-	-	-
On B/S (SoFP) PFI and other service concession arrangements contracts	-	-	-	-	-	-	-	-	-
<b>Carrying Amount</b> At 31 March 2018	-	-	-	-	-	-	47,191	-	47,191

Any fall in value through negative indexation or revaluation is shown as impairment.

The total amount of depreciation charged in the Statement of Comprehensive Net Expenditure Account in respect of assets held under finance leases and hire purchase contracts is £Nil (2017: £Nil).

The fair value of assets funded from the following sources during the year was:

	2018 £	2017 £
Donations	-	-
Government Grant	-	-
Lottery Funding	-	-

**NORTHERN IRELAND SOCIAL CARE COUNCIL**

**NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

**NOTE 5.2 Property, plant & equipment - year ended 31 March 2017**

	Land £	Buildings (excluding dwellings) £	Dwellings £	Assets under Construction £	Plant and Machinery (Equipment) £	Transport Equipment £	Information Technology (IT) £	Furniture and Fittings £	Total £
<b>Cost or Valuation</b>									
At 1 April 2016	-	-	-	-	20,406	-	182,879	-	203,285
Indexation	-	-	-	-	-	-	-	-	-
Additions	-	-	-	-	-	-	16,652	-	16,652
Donations / Government grant / Lottery Funding	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to revaluation reserve	-	-	-	-	-	-	-	-	-
Reversal of impairments (indexn)	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	(17,009)	-	(17,009)
At 31 March 2017	-	-	-	-	<b>20,406</b>	-	<b>182,522</b>	-	<b>202,928</b>

**Depreciation**

At 1 April 2016	-	-	-	-	20,406	-	115,302	-	135,708
Indexation	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	1,390	-	1,390
Impairment charged to the revaluation reserve	-	-	-	-	-	-	-	-	-
Reversal of impairments (indexn)	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	(17,009)	-	(17,009)
Provided during the year	-	-	-	-	-	-	26,765	-	26,765
At 31 March 2017	-	-	-	-	<b>20,406</b>	-	<b>126,448</b>	-	<b>146,854</b>

**NORTHERN IRELAND SOCIAL CARE COUNCIL**

**NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

**NOTE 5.2 (continued) Property, Plant & Equipment- year ended 31 March 2017**

	Land £	Buildings (excluding dwellings) £	Dwellings £	Assets under Construction £	Plant and Machinery (Equipment) £	Transport Equipment £	Information Technology (IT) £	Furniture and Fittings £	Total £
<b>Carrying Amount</b> At 31 March 2017	-	-	-	-	-	-	56,074	-	56,074
At 1 April 2016	-	-	-	-	-	-	67,577	-	67,577

**Asset financing**

Owned	-	-	-	-	-	-	56,074	-	56,074
Finance leased	-	-	-	-	-	-	-	-	-
On SOFP PFI and other service concession arrangements contracts	-	-	-	-	-	-	-	-	-
<b>Carrying Amount</b> At 31 March 2017	-	-	-	-	-	-	56,074	-	56,074

**Asset financing**

Owned	-	-	-	-	-	-	67,577	-	67,577
Finance leased	-	-	-	-	-	-	-	-	-
On SOFP PFI and other service concession arrangements contracts	-	-	-	-	-	-	-	-	-
<b>Carrying Amount</b> At 1 April 2016	-	-	-	-	-	-	67,577	-	67,577

**NORTHERN IRELAND SOCIAL CARE COUNCIL**

**NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

**NOTE 6.1 Intangible assets- year ended 31 March 2018**

	Software Licenses £	Information Technology £	Websites £	Development Expenditure £	Licences, Trademarks & Artistic Originals £	Patents £	Goodwill £	Payments on Account & Assets under Construction £	Total £
<b>Cost or Valuation</b>									
At 1 April 2017	50,268	581,775	-	-	-	-	-	-	632,043
Indexation	1,303	16,768	-	-	-	-	-	-	18,071
Additions	-	-	-	-	-	-	-	382,060	382,060
Donations / Government grant / Lottery Funding	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	382,060	-	-	-	-	-	(382,060)	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to revaluation reserve	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	-	-	-
At 31 March 2018	<b>51,571</b>	<b>980,603</b>	-	-	-	-	-	-	<b>1,032,174</b>

**Amortisation**

At 1 April 2017	35,188	339,016	-	-	-	-	-	-	374,204
Indexation	1,070	11,739	-	-	-	-	-	-	12,809
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to the revaluation reserve	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	-	-	-
Provided during the year	7,209	83,837	-	-	-	-	-	-	91,046
At 31 March 2018	<b>43,467</b>	<b>434,592</b>	-	-	-	-	-	-	<b>478,059</b>

**NORTHERN IRELAND SOCIAL CARE COUNCIL**

**NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

**NOTE 6.1 (continued) Intangible assets - year ended 31 March 2018**

	Software Licenses £	Information Technology £	Websites £	Development Expenditure £	Licences, Trademarks & Artistic Originals £	Patents £	Goodwill £	Payments on Account & Assets under Construction £	Total £
<b>Carrying Amount</b> At 31 March 2018	8,104	546,011	-	-	-	-	-	-	554,115
At 31 March 2017	15,080	242,759	-	-	-	-	-	-	257,839

**Asset financing**

Owned	8,104	546,011	-	-	-	-	-	-	554,115
Finance leased	-	-	-	-	-	-	-	-	-
On B/S (SoFP) PFI and other service concession arrangements contracts	-	-	-	-	-	-	-	-	-
<b>Carrying Amount</b> At 31 March 2018	8,104	546,011	-	-	-	-	-	-	554,115

Any fall in value through negative indexation or revaluation is shown as impairment.

The fair value of assets funded from the following sources during the year was:

	2018 £	2017 £
Donations	-	-
Government Grant	-	-
Lottery Funding	-	-



**NOTHERN IRELAND SOCIAL CARE COUNCIL**

**NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

**NOTE 6.2 Intangible assets - year ended 31 March 2017**

	Software Licenses £	Information Technology £	Websites £	Development Expenditure £	Licences, Trademarks & Artistic Originals £	Patents £	Goodwill £	Payments on Account & Assets under Construction £	Total £
<b>Cost or Valuation</b>									
At 1 April 2016	47,469	553,759	-	-	-	-	-	-	601,228
Indexation	2,799	28,016	-	-	-	-	-	-	30,815
Additions	-	-	-	-	-	-	-	-	-
Donations / Government grant / Lottery Funding	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to revaluation reserve	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	-	-	-
At 31 March 2017	<b>50,268</b>	<b>581,775</b>	-	-	-	-	-	-	<b>632,043</b>

**Amortisation**

At 1 April 2016	26,425	231,858	-	-	-	-	-	-	258,283
Indexation	1,900	17,929	-	-	-	-	-	-	19,829
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to the revaluation reserve	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	-	-	-
Provided during the year	6,863	89,229	-	-	-	-	-	-	96,092
At 31 March 2017	<b>35,188</b>	<b>339,016</b>	-	-	-	-	-	-	<b>374,204</b>

**NORTHERN IRELAND SOCIAL CARE COUNCIL**

**NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

**NOTE 6.2 Intangible assets - year ended 31 March 2017**

	Software Licenses £	Information Technology £	Websites £	Development Expenditure £	Licences, Trademarks & Artistic Originals £	Patents £	Goodwill £	Payments on Account & Assets under Construction £	Total £
<b>Carrying Amount</b> At 31 March 2017	15,080	242,759	-	-	-	-	-	-	257,839
At 1 April 2016	21,044	321,901	-	-	-	-	-	-	342,945

**Asset financing**

Owned	15,080	242,759	-	-	-	-	-	-	257,839
Finance leased	-	-	-	-	-	-	-	-	-
On B/S (SoFP) PFI and other service concession arrangements contracts	-	-	-	-	-	-	-	-	-
<b>Carrying Amount</b> At 31 March 2017	15,080	242,759	-	-	-	-	-	-	257,839

**Asset financing**

Owned	21,044	321,901	-	-	-	-	-	-	342,945
Finance leased	-	-	-	-	-	-	-	-	-
On B/S (SoFP) PFI and other service concession arrangements contracts	-	-	-	-	-	-	-	-	-
<b>Carrying Amount</b> At 1 April 2016	21,044	321,901	-	-	-	-	-	-	342,945

## **NORTHERN IRELAND SOCIAL CARE COUNCIL**

### **NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

#### **NOTE 7 FINANCIAL INSTRUMENTS**

As the cash requirements of the NISCC are met through Grant-in-Aid provided by the Department of Health, financial instruments play a more limited role in creating and managing risk than would apply to a non-public sector body.

The majority of financial instruments relate to contracts to buy non-financial items in line with the NISCC's expected purchase and usage requirements and the NISCC is therefore exposed to little credit, liquidity or market risk.

#### **NOTE 8 IMPAIRMENTS**

The NISCC had no impairments at 31 March 2018 (2016/17: £1,390)

#### **NOTE 9 ASSETS CLASSIFIED AS HELD FOR SALE**

The NISCC did not hold any assets classified as held for sale at either 31 March 2018 or 31 March 2017.

#### **NOTE 10 INVENTORIES**

The NISCC did not hold any goods for resale at either 31 March 2018 or 31 March 2017.

## NORTHERN IRELAND SOCIAL CARE COUNCIL

### NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

#### NOTE 11 CASH AND CASH EQUIVALENTS

	2018	2017
	£	£
Balance at 1 <sup>st</sup> April	62,439	36,717
Net change in cash and cash equivalents	(11,797)	25,722
<b>Balance at 31<sup>st</sup> March</b>	<b>50,642</b>	<b>62,439</b>

The following balances at 31 March were held at	2018	2017
	£	£
Commercial Banks and cash in hand	50,642	62,439
<b>Balance at 31<sup>st</sup> March</b>	<b>50,642</b>	<b>62,439</b>

The bank account is operated by Business Services Organisation (BSO) on behalf of NISCC. The account is in the legal name of the BSO.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### NOTE 12 TRADE RECEIVABLES, FINANCIAL AND OTHER ASSETS

	2018 £	2017 £
<b>Amounts falling due within one year</b>		
Trade receivables	17,468	1,676
Deposits and advances	-	-
VAT receivable	-	-
Other receivables – not relating to fixed assets	-	54,728
Other receivables – relating to property, plant and equipment	-	-
Other receivables – relating to intangibles	-	-
<b>Trade and other receivables</b>	<u>17,468</u>	<u>56,404</u>
Prepayments	61,832	42,382
Accrued income	1,570	-
Current part of PFI and other service concession arrangements prepayment	-	-
<b>Other current assets</b>	<u>63,402</u>	<u>42,382</u>
Carbon reduction commitment	-	-
<b>Intangible current assets</b>	<u>-</u>	<u>-</u>
<b>Amounts falling due after more than one year</b>		
Trade receivables	-	-
Deposits and advances	-	-
Other receivables	-	-
<b>Trade and other receivables</b>	<u>-</u>	<u>-</u>
Prepayments and accrued income	-	-
<b>Other current assets falling due after more than one year</b>	<u>-</u>	<u>-</u>
<b>TOTAL TRADE AND OTHER RECEIVABLES</b>	<u><u>17,468</u></u>	<u><u>56,404</u></u>
<b>TOTAL OTHER CURRENT ASSETS</b>	<u><u>63,402</u></u>	<u><u>42,382</u></u>
<b>TOTAL INTANGIBLE CURRENT ASSETS</b>	<u><u>-</u></u>	<u><u>-</u></u>
<b>TOTAL RECEIVABLES AND OTHER CURRENT ASSETS</b>	<u><u>80,870</u></u>	<u><u>98,786</u></u>

The balances are net of a provision for bad debts of £Nil (2016/17: £Nil).

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### NOTE 13 TRADE PAYABLES AND OTHER CURRENT LIABILITIES

	2018 £	2017 £
<b>Amounts falling due within one year</b>		
Other taxation and social security	-	-
Bank overdraft	-	-
VAT payable	-	-
Trade capital payables – property, plant and equipment	-	-
Trade capital payables – intangibles	-	-
Trade revenue payables	51,811	19,031
Payroll payables	-	-
Clinical Negligence payables	-	-
RPA payables	-	-
BSO payables	207	263
Other payables	126,559	593
Accruals	464,452	402,705
Accruals– relating to property, plant and equipment	-	16,652
Accruals – relating to intangibles	382,060	-
Deferred income	71,555	168,020
<b>Trade and other payables</b>	<b>1,096,644</b>	<b>607,264</b>
Current part of finance leases	-	-
Current part of long term loans	-	-
Current part of imputed finance lease element of PFI and other service concession arrangements	-	-
<b>Other current liabilities</b>	<b>-</b>	<b>-</b>
Carbon reduction commitment	-	-
<b>Intangible current liabilities</b>	<b>-</b>	<b>-</b>
<b>Total payables falling due within one year</b>	<b>1,096,644</b>	<b>607,264</b>
<b>Amounts falling due after more than one year</b>		
Other payables, accruals and deferred income	-	-
Trade and other payables	-	-
Clinical Negligence payables	-	-
Finance leases	-	-
Current part of imputed finance lease element of PFI and other service concession arrangements	-	-
Long term loans	-	-
<b>Total non current other payables</b>	<b>-</b>	<b>-</b>
<b>TOTAL TRADE PAYABLES AND OTHER CURRENT LIABILITIES</b>	<b>1,096,644</b>	<b>607,264</b>

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### NOTE 14 PROMPT PAYMENT POLICY

#### 14.1 Public Sector Payment Policy - Measure of Compliance

The Department requires that NISCC pay their non HSC trade creditors in accordance with applicable terms and appropriate Government Accounting guidance. The NISCC's payment policy is consistent with applicable terms and appropriate Government Accounting guidance and its measure of compliance is:

	<b>2018 Number</b>	<b>2018 Value £</b>	<b>2017 Number</b>	<b>2017 Value £</b>
Total bills paid	1,259	2,115,749	1,297	2,405,946
Total bills paid within 30 day target	1,210	2,048,811	1,271	2,380,046
<b>% of bills paid within 30 day target</b>	<b>96%</b>	<b>97%</b>	<b>98%</b>	<b>99%</b>
Total bills paid within 10 day target	980	1,512,429	1,157	2,185,816
<b>% of bills paid within 10 day target</b>	<b>78%</b>	<b>71%</b>	<b>89%</b>	<b>91%</b>

#### 14.2 The Late Payment of Commercial Debts Regulations 2002

	<b>£</b>
Amount of compensation paid for payment(s) being late	-
<b>Total</b>	<b>-</b>

## NORTHERN IRELAND SOCIAL CARE COUNCIL

### NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

#### NOTE 15 PROVISIONS FOR LIABILITIES AND CHARGES

The NISCC had no provisions for liabilities and charges at either 31 March 2018 or 31 March 2017.

#### NOTE 16 CAPITAL COMMITMENTS

The NISCC had no capital commitments at either 31 March 2018 or 31 March 2017.

#### NOTE 17 COMMITMENTS UNDER LEASES

##### 17.1 Operating Leases

Total future minimum lease payments under operating leases are given in the table below for each of the following periods.

	2018 £	2017 £
<b>Obligations under operating leases comprise</b>		
<b>Land</b>		
Not later than 1 year	-	-
Later than 1 year and not later than 5 years	-	-
Later than 5 years	-	-
	<hr/>	<hr/>
	-	-
<b>Buildings</b>		
Not later than one year	261,780	261,780
Later than one year but not later than five years	632,635	894,415
Later than five years	-	-
	<hr/>	<hr/>
	<b>894,415</b>	<b>1,156,195</b>
<b>Other</b>		
Not later than 1 year	-	-
Later than 1 year and not later than 5 years	-	-
Later than 5 years	-	-
	<hr/>	<hr/>
	-	-

##### 17.2 Finance Leases

The NISCC had no finance leases at either 31 March 2018 or 31 March 2017.

##### 17.3 Operating Leases

The NISCC did not issue any operating leases at either 31 March 2018 or 31 March 2017.



## **NORTHERN IRELAND SOCIAL CARE COUNCIL**

### **NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

#### **NOTE 18 COMMITMENTS UNDER PFI AND OTHER SERVICE CONCESSION ARRANGEMENT CONTRACTS**

##### **18.1 Off balance sheet PFI and other service concession arrangement schemes.**

The NISCC had no commitments under PFI and other concession arrangement contracts at 31 March 2018 or 31 March 2017.

##### **18.2 On balance sheet (SoFP) PFI Schemes**

The NISCC had no on balance sheet (SoFP) PFI and other service concession arrangements schemes at 31 March 2018 or 31 March 2017.

#### **NOTE 19 OTHER FINANCIAL COMMITMENTS**

The NISCC did not have any other financial commitments at 31 March 2018 or 31 March 2017.

#### **NOTE 20 FINANCIAL GUARANTEES, INDEMNITIES AND LETTERS OF COMFORT**

The NISCC did not have any financial guarantees, indemnities and letters of comfort at 31 March 2018 or 31 March 2017.

#### **NOTE 21 CONTINGENT LIABILITIES**

The NISCC did not have any quantifiable contingent liabilities at 31 March 2018 or 31 March 2017.

#### **NOTE 22 RELATED PARTY TRANSACTIONS**

The NISCC is an arm's length body of the Department of Health and as such the Department is a related party with which the NISCC has had various material transactions during the year. These transactions have been disclosed for 2016-17 and 2017-18.

In addition there were material transactions with the Business Services Organisation who are a related party by virtue of being an arms length body with the Department of Health. These transactions have been disclosed for 2016-17 and 2017-18.

During the year, none of the Board members, members of the key management staff or other related parties has undertaken any material transactions with the NISCC.

#### **NOTE 23 THIRD PARTY ASSETS**

The NISCC held no assets at either 31 March 2018 or 31 March 2017 belonging to third parties.

# NORTHERN IRELAND SOCIAL CARE COUNCIL

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

### NOTE 24 Financial Performance Targets

#### 24.1 Revenue Resource Limit

The NISCC is given a Revenue Resource Limit which it is not permitted to overspend.

The Revenue Resource Limit for NISCC is calculated as follows:

	<b>2018</b>	<b>2017</b>
	<b>Total</b>	<b>Total</b>
	<b>£</b>	<b>£</b>
DoH (excludes non cash)	2,680,244	2,612,724
Other Government Department (HSCB)	-	-
Non cash RRL (from DHSSPS)	121,497	132,747
<b>Total agreed RRL</b>	<b>2,801,741</b>	<b>2,745,471</b>
Adjustment for income received re Donations / Government grant / Lottery funding for non current assets	-	-
<b>Total Revenue Resource Limit to Statement of Comprehensive Net Expenditure</b>	<b>2,801,741</b>	<b>2,745,471</b>

#### 24.2 Capital Resource Limit

The NISCC is given a Capital Resource Limit (CRL) which it is not permitted to overspend.

	<b>2018</b>	<b>2017</b>
	<b>£</b>	<b>£</b>
Gross capital expenditure by NISCC (Receipts from sales of fixed assets)	395,028	16,652
Net capital expenditure	395,028	16,652
Capital Resource Limit	395,460	16,652
Overspend/(Underspend) against CRL	(432)	-

## NORTHERN IRELAND SOCIAL CARE COUNCIL

### NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018

#### 24.3 Financial Performance Targets

The NISCC is required to ensure that it breaks even on an annual basis by containing its surplus to within 0.25% of RRL or £20,000, whichever is greater.

	<b>2017-18</b>	<b>2016-17</b>
	<b>£</b>	<b>£</b>
Net Expenditure	(2,790,203)	(2,734,281)
RRL	2,801,741	2,745,471
Surplus/(Deficit) against RRL	11,538	11,190
Break Even cumulative position (opening)	121,599	110,409
Break Even Cumulative position (closing)	<u>133,137</u>	<u>121,599</u>

#### Materiality Test:

	<b>2017-18</b>	<b>2016-17</b>
	<b>%</b>	<b>%</b>
Break Even in year position as % of RRL	<u>0.41%</u>	<u>0.41%</u>
Break Even cumulative position as % of RRL	4.75%	4.43%

**NORTHERN IRELAND SOCIAL CARE COUNCIL**

**NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2018**

**NOTE 25 EVENTS AFTER THE REPORTING PERIOD**

There are no post balance sheet events having material effect on the accounts.

**Date of Authorised Issue**

The Accounting Officer authorised these financial statements for issue on 6 July 2018.

## **NORTHERN IRELAND SOCIAL CARE COUNCIL**

### **THE CERTIFICATE AND REPORT OF THE COMPTROLLER AND AUDITOR GENERAL TO THE NORTHERN IRELAND ASSEMBLY**

#### **Opinion on financial statements**

I certify that I have audited the financial statements of the Northern Ireland Social Care Council for the year ended 31 March 2018 under the Health and Personal Social Services Act (Northern Ireland) 2001. The financial statements comprise: the Statements of Comprehensive Net Expenditure, Financial Position, Cash Flows, Changes in Taxpayers' Equity; and the related notes. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Accountability Report that is described in that report as having been audited.

In my opinion the financial statements:

- give a true and fair view of the state of the Northern Ireland Social Care Council's affairs as at 31 March 2018 and of the Northern Ireland Social Care Council's net expenditure for the year then ended; and
- have been properly prepared in accordance with the Health and Personal Social Services Act (Northern Ireland) 2001 and Department of Health directions issued thereunder.

#### **Opinion on regularity**

In my opinion, in all material respects the expenditure and income recorded in the financial statements have been applied to the purposes intended by the Assembly and the financial transactions recorded in the financial statements conform to the authorities which govern them.

#### **Basis of opinions**

I conducted my audit in accordance with International Standards on Auditing (UK) (ISAs) and Practice Note 10 'Audit of Financial Statements of Public Sector Entities in the United Kingdom'. My responsibilities under those standards are further described in the Auditor's responsibilities for the audit of the financial statements section of this certificate. My staff and I are independent of the Northern Ireland Social Care Council in accordance with the ethical requirements of the Financial Reporting Council's Revised Ethical Standard 2016, and have fulfilled our other ethical responsibilities in accordance with these requirements. I believe that the audit evidence obtained is sufficient and appropriate to provide a basis for my opinions.

#### **Other Information**

The Council and the Accounting Officer are responsible for the other information included in the annual report. The other information comprises the information included in the annual report other than the financial statements, the parts of the Accountability Report described in the report as having been audited, and my audit certificate and report. My opinion on the financial statements does not cover the other information and I do not express any form of assurance conclusion thereon.

In connection with my audit of the financial statements, my responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or my knowledge obtained in the audit or otherwise appears to be materially misstated. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact. I have nothing to report in this regard.

#### **Opinion on other matters**

In my opinion:

- the parts of the Accountability Report to be audited have been properly prepared in accordance with Department of Health directions made under the Health and Personal Social Services Act (Northern Ireland) 2001; and
- the information given in the Performance Report and Accountability Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

### **Responsibilities of the Council and Accounting Officer for the financial statements**

As explained more fully in the Statement of Accounting Officer Responsibilities, the Council and the Accounting Officer are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view.

### **Auditor's responsibilities for the audit of the financial statements**

My responsibility is to audit, certify and report on the financial statements in accordance with the Health and Personal Social Services Act (Northern Ireland) 2001.

I am required to obtain evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of my responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my certificate.

In addition, I am required to obtain evidence sufficient to give reasonable assurance that the expenditure and income recorded in the financial statements have been applied to the purposes intended by the Assembly and the financial transactions recorded in the financial statements conform to the authorities which govern them.

### **Matters on which I report by exception**

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the parts of the Accountability Report to be audited are not in agreement with the accounting records; or
- I have not received all of the information and explanations I require for my audit; or
- the Governance Statement does not reflect compliance with the Department of Finance's guidance.

### **Report**

I have no observations to make on these financial statements.



*KJ Donnelly*  
*Comptroller and Auditor General*  
*Northern Ireland Audit Office*  
*106 University Street*  
*Belfast*  
*BT7 1EU*

06 July 2018

## Council Membership – 2017-18



---

**Chair, James Perry** (term ended 31/03/18)

---



**Neil Bodger**



**Catherine  
McPhillips**



**Anne O'Reilly**



**Lee Wilson**



**Brenda  
Maitland**

---



**Ruth Lavery**  
(term ended  
30/9/17)



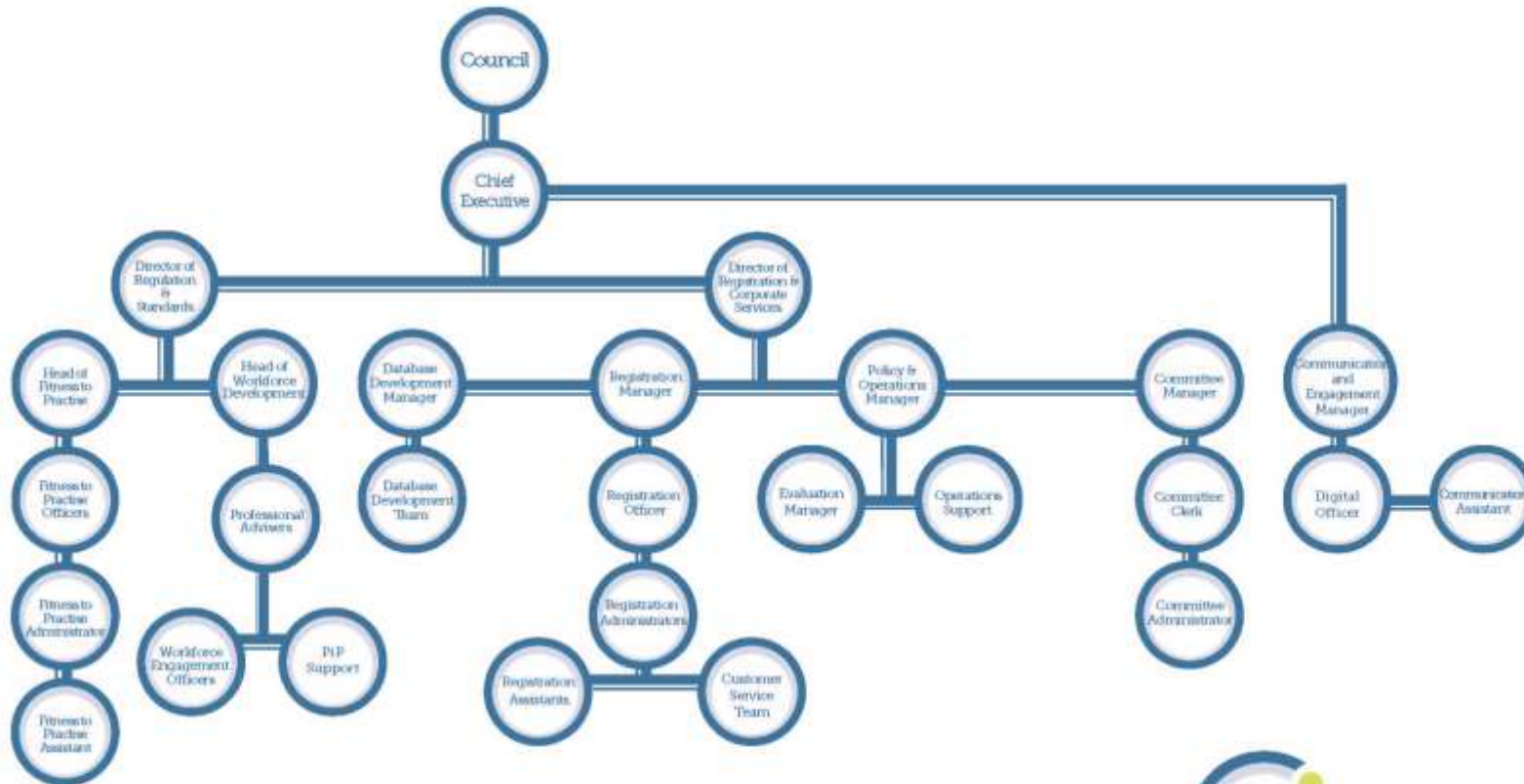
**Geraldine  
Campbell**  
(term ended  
30/9/17)



**Julie Erskine**  
(term ended  
30/9/17)

# NISCC Organisational Chart 2017-18

Appendix 2:

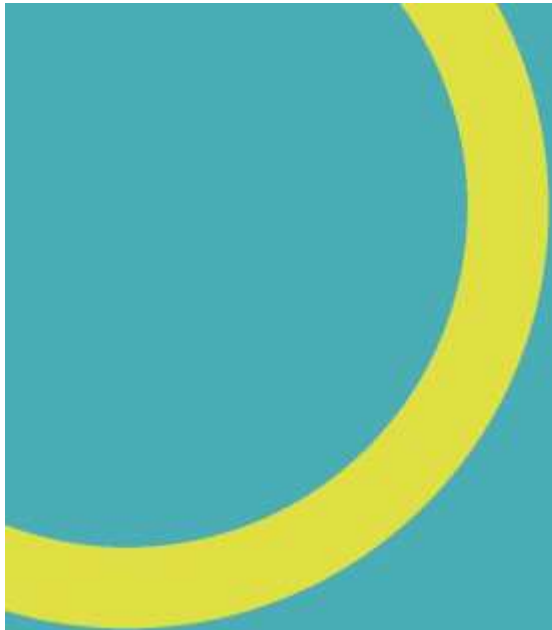


Organisational Chart



## **Glossary of Terms and Abbreviations**

AYE	Assessed Year in Employment (for newly qualified social workers)
BSO	Business Services Organisation
CETV	Cash Equivalent Transfer Values
DoH	Department of Health
FReM	Financial Reporting Manual
HSC	Health and Social Care
HSCT	Health and Social Care Trust
IIP	Investors in People
KSF	Knowledge and Skills Framework
MSFM	Management Statement and Financial Memorandum
NDPB	Non-Departmental Public Body
NISCC	Northern Ireland Social Care Council
PIP	Professional In Practice (PiP)
PQ	Post Qualifying (social work education and training)
PRTL	Post Registration Training and Learning
RQIA	Regulation and Quality Improvement Authority
SfCD	Skills for Care and Development



**NISCC**

**27 June 2018**

**[www.niscc.info](http://www.niscc.info)**

ISBN 978-0-9933939-3-8