



THE ANNUAL REPORT AND ACCOUNTS  
OF THE NORTHERN IRELAND  
SOCIAL CARE COUNCIL

APRIL 2016 – MARCH 2017

**06 JULY 2017**



This Report is also available on NISCC's website [www.niscc.info](http://www.niscc.info). Copies can also be made available in a range of different formats on request by contacting NISCC's Communications Manager at the address below or email [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  
7th 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)

**06 JULY 2017**

© NISCC copyright 2017

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@national.archives.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)

This document/publication is also available on our website at [www.niscc.info](http://www.niscc.info). Any enquires regarding this document/publication should be sent to us at the address above.





## **The Northern Ireland Social Care Council Accounts for the Year ended 31 March 2017**

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

**25 AUGUST 2017**



# Contents

<b>Introduction by the Chair .....</b>	<b>6</b>
<b>Section 1 - Performance Report .....</b>	<b>8</b>
• Chief Executive's Statement .....	9
• Overview .....	10
• Personal and Public Involvement Report.....	24
• Performance Analysis .....	25
<b>Section 2 - Accountability Report .....</b>	<b>30</b>
• <b>Corporate Governance Report</b>	
» Director's Report .....	31
» Statement of Accounting Officer Responsibilities.....	38
» Governance Statement .....	40
» Audit & Risk Assurance Committee Report.....	53
• <b>Remuneration and Staff Report</b>	
» Remuneration Report for year ended 31 March 2017 .....	56
» Staff Report for year ended 31 March 2017 .....	59



**Section 3 - Accountability & Audit Report ..... 69**

- » Statement of Comprehensive Net Expenditure ..... 73
- » Statement of Financial Position at 31 March 2017 ..... 74
- » Statement of Cashflows for year ended 31 March 2017 ..... 75
- » Statement of Changes in Taxpayers Equity ..... 77
- » Notes to the Accounts ..... 78
- » Certificate and Report of the Comptroller and Auditor General ..... 108

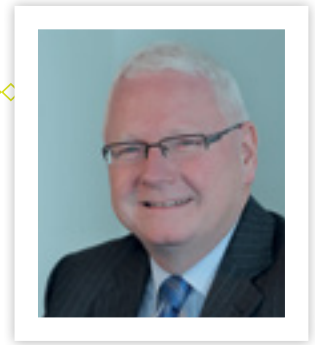
**List of Council Members ..... Appendix 1**

**Organisational Structure ..... Appendix 2**

**Glossary of Abbreviations ..... Appendix 3**

# Introduction by The Chair

*I am delighted to present the Northern Ireland Social Care Council's 16th Annual Report and Accounts. This report covers the period from 1 April 2016 to 31 March 2017.*



It will give you an insight into the key responsibilities of NISCC and achievements of the organisation towards our aim:

***'To protect the public through improving safeguards for vulnerable people, raising the standards of social care practice and strengthening the professionalism of the workforce.'***

This has been another hugely successful year for NISCC having rolled out registration to the domiciliary and day care workforce in Northern Ireland. This is an exceptionally important workforce who provide front line services to so many service users in sometimes very difficult situations and circumstances. We will continue to work with and support this workforce during the lifetime of their registration with NISCC in support of our arching aim set out above. I am grateful to NISCC staff, employers, stakeholders and the social care workforce for working with NISCC to deliver this outcome during 2016/17.

We anticipate having over 37,000 people registered with NISCC once all applications have been processed – this represents almost 5% of the employed workforce in Northern Ireland. It is therefore essential that NISCC continues to be a strong voice for the social care workforce and support capacity building for leadership in that workforce.

NISCC continues to work with the other social care regulators in England, Scotland, Wales and Ireland to ensure best practice across the UK and Ireland is shared to benefit registrants and their employers in delivering all forms of social care.

## Fitness to Practise

In 2016/17 we rolled out our new Fitness to Practise model for regulation which provides for a more proportionate and cost effective approach to regulation and brings NISCC into line with other health and social care regulators. It also provides NISCC with the ability to apply a wider range of sanctions.

While NISCC has an essential role to play in investigating complaints about the social care workforce, it is important to note that the vast majority of social care workers carry out their duties with the utmost care and to very high standards in line with NISCC's Standards of Conduct and Practice. In 2016/17 less than 1% of the workforce were referred to NISCC.

## Strengthening the professionalism of the workforce

During the year, NISCC continued to promote its framework for social work professional development (Professional in Practice) – during 2016/17 there were 2,448 social workers actively engaged in the framework.

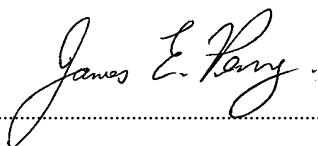
NISCC also continued to promote its Ambassador Scheme to help raise the identity of social care and social work.

In support of this NISCC marked World Social Work Day 2017 with the launch of NISCC's Ambassadors for Social Work.

Council has in place robust arrangements to support the achievement of NISCC's objectives. The organisation remains committed to best practice in terms of Corporate Governance. I am confident that the significant achievements of the last year will ensure NISCC continues to provide a leading role in protecting the public, safeguarding standards and promoting professionalism.

None of these achievements would have been possible without the input of a broad range of contributors. I would like to acknowledge the dedication of staff and fellow Council Members and our Partnerships in taking forward these key developments. We are also fortunate to have significant input from a broad range of stakeholders, including service users and carers, as well as other key stakeholders such as employers, education providers, professional bodies, representative associations and partner professions across Health and Social Care.

I am pleased to commend this Annual Report.



**Jim Perry, NISCC Chair**

**Northern Ireland Social Care Council**



# Section 1

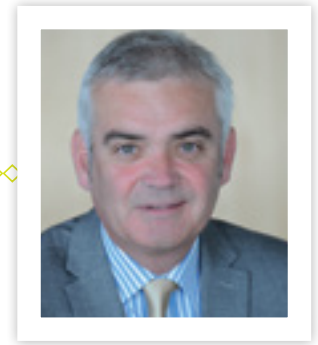
Performance Report



# Performance Report

## Overview

Organisational Performance, April 2016 – March 2017  
Statement by the Chief Executive, Colum Conway



*I am pleased to present this Annual Report and Accounts for the period April 2016 to March 2017. Once again I am delighted to report on so many significant achievements for NISCC which are detailed in this Performance Report.*

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 (from just over 24,000 last year to an expected 37,000 once all applications are processed), to the shape of that register – with the largest volume (of over 80%) being social care workers.

I am grateful to the hard work of NISCC staff for their sterling efforts in supporting this roll out programme and to the many employers and stakeholders who worked actively with us to ensure the timely registration of their staff. 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 all those newly registered with NISCC to ensure we continue to provide high quality support and an effective registration and regulation function where the Standards of Conduct and Practice remain at the heart of what we do.

During the year we established a Social Care Manager's Forum to help managers share their knowledge, learning and expertise and learn from one another. The Forum was extremely well received and will provide a good foundation for collaborative working in the future.

Our communication and engagement activity remained central to the way in which we conducted our business – through our Partnership arrangements to our stakeholder events and the continued use of lunchtime seminars which have proven hugely successful in sharing learning and development and best practice. Following your positive feedback, we will continue to do more of this in the future ensuring we use the best in modern technology to ensure our services, information and communications are targeted, relevant, accessible and timely.

These achievements were delivered at the same time as delivering our day to day business and finding better ways to improve our services and information. We have listened to your feedback and you have told us that our Portal needs to be more accessible and streamlined. We will work during the next business year to make visible improvements to our Portal in response to your feedback to ensure we continue to meet your needs and expectations.

We have also developed a new draft four year Corporate Plan which is aligned to the draft Programme for Government and the Minister of Health's 'Health and Wellbeing 2026' strategy.

The Plan is outcome based and we will ensure our work continues to operate in a way that will deliver these outcomes for all those who use or have access to or benefit from our services.

## Financial Performance

NISCC kept within its KPI's to breakeven at year end (as detailed later in this section). That also included achieving 98% of invoices being paid within 30 days (against the target of 95%).

The accounts for 2016/17 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.

An overview of our performance against our strategic objectives during 2016/17 is set out in the following pages.

## STRATEGIC OBJECTIVE 1

NISCC will improve the quality of social care and ensure a safe social care workforce through workforce regulation

## Registration

### Roll-Out of Registration

In June 2015, the Minister of Health announced the final phase of compulsion of registration planned for the *domiciliary care, day care and supported living workforce*. NISCC already registers the majority of the remaining social care workforce – including social workers, managers of residential and day care and domiciliary care, adult residential care managers, and students studying for a Degree in Social Work.

Following the Minister's announcement, NISCC convened a project group, Chaired by the Chief Executive, and developed a project plan to ensure significant engagement of both employers and the workforce took place, by a range of methods, ensuring they understood the requirement to be registered by year end. NISCC also worked closely with employers to assist with the registration process.

This was a significant objective for NISCC with a potential growth in the register of over 50%. In addition to impacting on the levels of the social care workforce registered with NISCC, it also changed the make up of the register with almost 80% of those registered being employed as social care workers.

During the year the NISCC received 16,332 new applications for registration of which 62% were as a result of the roll out of registration. In addition to this NISCC managed 1,298 renewals for registration during the year.



## NISCC Social Care Register

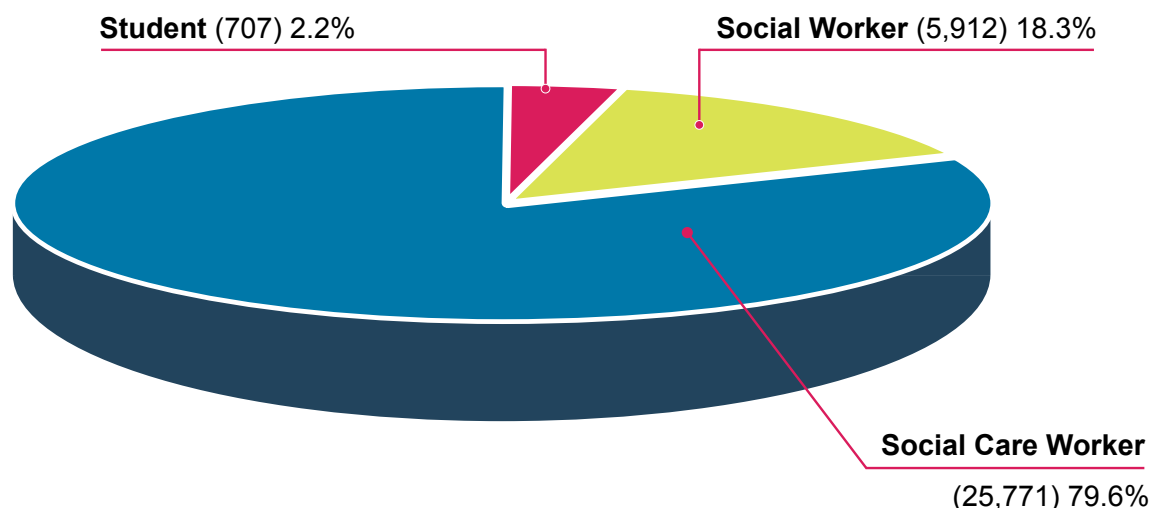
As explained above, NISCC has a statutory role to ensure the social care workforce is registered and that the register is kept up to date at all times.

This is important to ensure that anyone checking the public register can be assured that the information provided is reliable, accurate and up to date. To manage the register NISCC has a wide range of Key Performance Indicators (KPI's) to assist it in ensuring the register is maintained to a high quality and in a timely manner (additional information on NISCC's KPI's can be found at page 26 of this Report).

At the end of March 2017, there were 32,390 registrants on the register (which is an overall increase of 32% (24,478) on the same period last year). A breakdown of the register is shown in the graph above.

Social care workers represent the majority of NISCC's register at 79.6%, which equates to 25,771 social care workers.

### NISCC Registration at 31 March 2017



## NISCC Online Portal

Promoting the use of the Portal for applicants, existing registrants and employers was a key activity throughout the year and this was done through various events, workshops with employers and new applicants, as well as updates in newsletters and on social media.

NISCC has seen a massive increase in the amount of portal users over the past year, with 39,800 individuals now signed up to use the site, which is over double the users that were registered with the site at 15/16 year end.



At the end of March 2017, of the 14,120 applications and renewals received, 88% were completed using the online portal, which exceeded NISCC's expectations and targets.

During the year NISCC also launched functionality to allow Social Workers to claim their CPD "Professional in Practice" (PiP) Credits for requirements in the Northern Ireland PiP framework.

NISCC reviewed feedback from users over the past year, and taking these comments on board, has put in place a plan to make visible improvements to the Portal to ensure the Portal meets users' needs and expectations.

## Regulation

### Investigations into Complaints about the Social Care Workforce

As the workforce regulator, NISCC has an important role to play in protecting the public and upholding proper standards of conduct and practice amongst its registrants. While the majority of social workers and social care workers undertake their work roles safely and effectively, the conduct and practice of some registrants will at times fall below the required standard. This may result in a referral being made to NISCC to investigate the concerns about the registrant and decide whether any action needs to be taken in respect of their fitness to practise and ongoing registration.

During 2016/17, NISCC continued to deliver its fitness to practise function, ensuring that all allegations made about registered workers were investigated in a timely manner and in accordance with agreed rules, policies and procedures and best regulatory practice.

A total of 312 referrals of alleged impaired fitness to practise were referred to NISCC during 2016/17.

All referrals are risk assessed which resulted in 15 Interim Orders being imposed which restricts their practice while investigations are ongoing.

Fitness to practise hearings were held in respect of 20 registrants and the outcomes were as follows:

- 1 registrant received a warning
- 1 registrant was made subject to a Conditions of Practice Order
- 5 registrants were suspended from the Register
- 10 registrants were removed from the Register
- 1 registrant – facts were not found
- 2 cases were adjourned to be concluded within 2017/18

In addition, 22 cases were disposed of consensually. This included:

- 17 Warnings
- 3 Undertakings
- 2 Removals by Agreement

During 2016/17, NISCC also referred 9 worker's applications to the Registration Committee with regard to their suitability to work in social care. 6 applicants were registered; 2 were refused registration and 1 further case stands adjourned.

### Reform of Regulatory Model

Following amendments to the Health and Personal Social Services Act (NI) 2001, NISCC introduced a fitness to practise model of regulation in May 2016. This offers a more proportionate and cost effective approach to regulation and brings NISCC into line with other health and social care regulators.



NISCC now have the ability to apply a wider range of sanctions, including provision to dispose of cases consensually without the need for a formal hearing. In the interests of openness and transparency and to ensure public protection, all fitness to practise sanctions, including consensual ones, are published on NISCC's website.

Comprehensive training on the new model has been provided to NISCC staff and Committee members.



### Raising Concerns Guidance

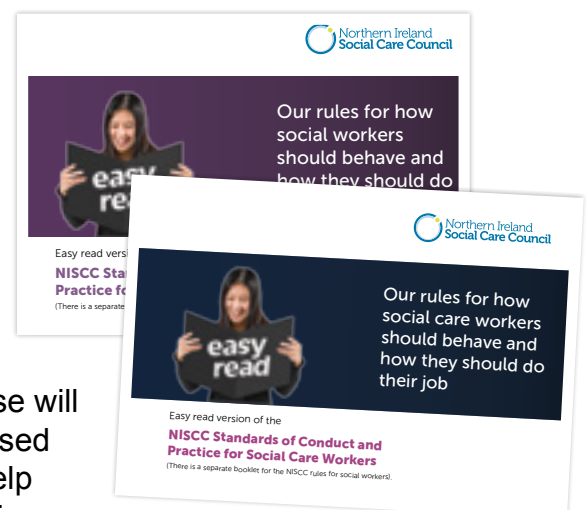
In collaboration with NISCC's Registrants Forum, NISCC produced a guidance booklet for social work and social care staff on how to raise and escalate concerns within the workplace where they are concerned about service user safety or their ability to adhere to the Standards of Conduct and Practice. The booklet was endorsed by NIPSA, UNISON and the Northern Ireland Association of Social Work and will be published on NISCC's website.

### Standards for Employers of Social Workers and Social Care Workers

NISCC worked with RQIA and other key stakeholders including employers, to produce standards for employers which set out their responsibilities in relation to their regulated workforce. The standards replaced the previous Code of Practice for Employers which was first introduced in 2002. The standards will shortly be launched by NISCC and RQIA and a range of dissemination events facilitated for employers throughout 2017/18.

### Widening Accessibility – Easy Read Standards of Conduct and Practice

With support from members of ARC a stakeholder organisation for adults with a learning disability and NISCC's Participation Partnership, NISCC developed Easy Read versions of the Standards of Conduct and Practice for Social Workers and Social Care Workers.



These will be used to help service users and carers to understand the standards they can expect from those social workers and social care workers involved in the delivery of their care. The standards will be formally launched and issued to service user and carer representative groups for circulation to their members next year.

## STRATEGIC OBJECTIVE 2

NISCC will ensure that qualifications and standards deliver a skilled and committed Social Care Workforce

During 2016/17, NISCC delivered on a wide range of key activities in support of its overarching strategic objective:

- NISCC worked with its partners who deliver social work education and training at both qualifying and post qualifying level to streamline quality assurance processes. NISCC continued to be assured about the quality of provision within our partnership and academic agencies.
- In Northern Ireland NISCC has an Assessed Year in Employment (AYE) for newly qualified social workers. NISCC is the only country from the UK and Republic of Ireland who requires social workers to undertake this supported year to develop the confidence and competency of newly qualified social workers. NISCC audited this process for the first time in 2016/17. The findings confirmed the quality of support provided to AYE social workers and their capability to meet the Standards of Conduct and Practice early into their career.
- NISCC established a five country network with its neighbouring regulators in England, Scotland, Wales and Ireland to work more closely on the assessment of international qualifications for social workers from other countries.

## Professional in Practice Framework

- The PiP Framework for social work is recognised nationally and internationally as one of the most well developed frameworks in the UK to recognise professional social worker professional development. It has continued to grow and provide new mechanisms to recognise professional development and has contributed to the delivery of evidenced informed social work practice.
- During 2016/17 there were 2,448 social workers from all sectors actively engaged in undertaking formal learning and development within the PiP framework, through a range of approved programmes or by preparing for assessment on an individual basis.
- Social workers on the PiP routes which include the IAR, CAR and Approved Programmes were assessed and the numbers are detailed below.

### 2016/17 Social Workers on PiP Routes

Credit Accumulation	353 (as at 31/3/2017) of which 20 candidates undertook 26 Assessments
Approved Programmes	487 candidates undertook 883 Module Assessments in 2016/17
Individual Assessment Route	149 candidates undertook 141 Assessments

The number of social workers who qualified for a Social Work Award in 2016/17 are detailed below:

2016/17 Post Qualifying Social Work Awards	
NI Consolidation Award in Social Work	66
NI Specialist Award in Social Work	56
NI Leadership and Strategic Award in Social Work	13
<b>Total</b>	<b>135</b>

NISCC has a key role in working with its partners to deliver the social work awards. At the 2016/17 event social workers were recognised from all sectors at all levels of practice.

### Ambassadors for Social Work and Social Care

The Ambassador scheme continues to grow. Ambassadors work with NISCC to raise the identity of social care and social work, foster pride and inspire potential applicants. In 2016/17 the social work ambassador scheme was successfully launched with excellent feedback and engagement. NISCC marked World Social Work Day 2017 with the launch of NISCC's Ambassadors for Social Work.

- 21 Social Work Ambassadors have completed their training and will now join the 20 Social Care Ambassadors to promote their profession in schools, colleges and at recruitment events around NI.
- Their personal account of working in these careers will help inspire the next generation of people to join the social work and social care workforce.



### Developing the Workforce

NISCC continued to work closely in partnership with key employers across all social care sectors to develop a vision for the social care workforce to meet the challenges and diverse needs for people who use social care.

During the year NISCC established a forum for social care managers to come together and consider key policy and practice development for their workforce. In supporting and developing the workforce NISCC worked with colleges and FE colleges to review the suite of available qualifications.

This confirmed that current qualifications were meeting the needs of the sector with some minor adjustments required. NISCC will develop this work further during the next year. In response to employers identifying a need NISCC also developed a level 4 Diploma in Social Care which supports frontline managers in developing their practice.

NISCC developed a GAIN guideline which is intended to support managers in ensuring that the domiciliary care staff they employ are enabled to meet NISCC's Standards of Conduct and Practice.

NISCC worked with the federation for Industry Sector Skills and Standards to quality assure its compliance to the Code of Practice. The federation confirmed that NISCC had exceeded the standards required with areas of strength and best practice identified.

## Synergy Project – Improving Connections

NISCC worked with a range of social care employers to develop opportunities for its staff to know and understand the social care role. It established a scheme (Synergy – Improving Connections with the Social Care Sector) to improve the understanding of NISCC staff in relation to the complexity and valuable contribution of social care work, by enabling them to undertake work observation/volunteering opportunities with a range of social care employers.

- To date, almost 15% of staff have spent time in Kilcreggan Supported Living & Day Centre, Mindwise Day Projects and SEHSCT Domiciliary Care Management Team.
- NISCC staff said they found the experience enjoyable and very enlightening.
- NISCC social care hosts said they enjoyed working with the NISCC participants.
- These activities were a good opportunity to break down barriers between NISCC and registered workers. The visit to Kilcreggan reached 555 people on Facebook and created 375 impressions and 13 engagements on Twitter.



## Sharing Knowledge and Best Practice

Throughout the year, NISCC invited practitioners to present a series of lunchtime seminars to share their achievements and discuss developments in their field of practice. In 2016/17 NISCC hosted six seminars on topics ranging from studies of Children in Care, to The Use of Mobile Apps in Social Work Education & Practice.

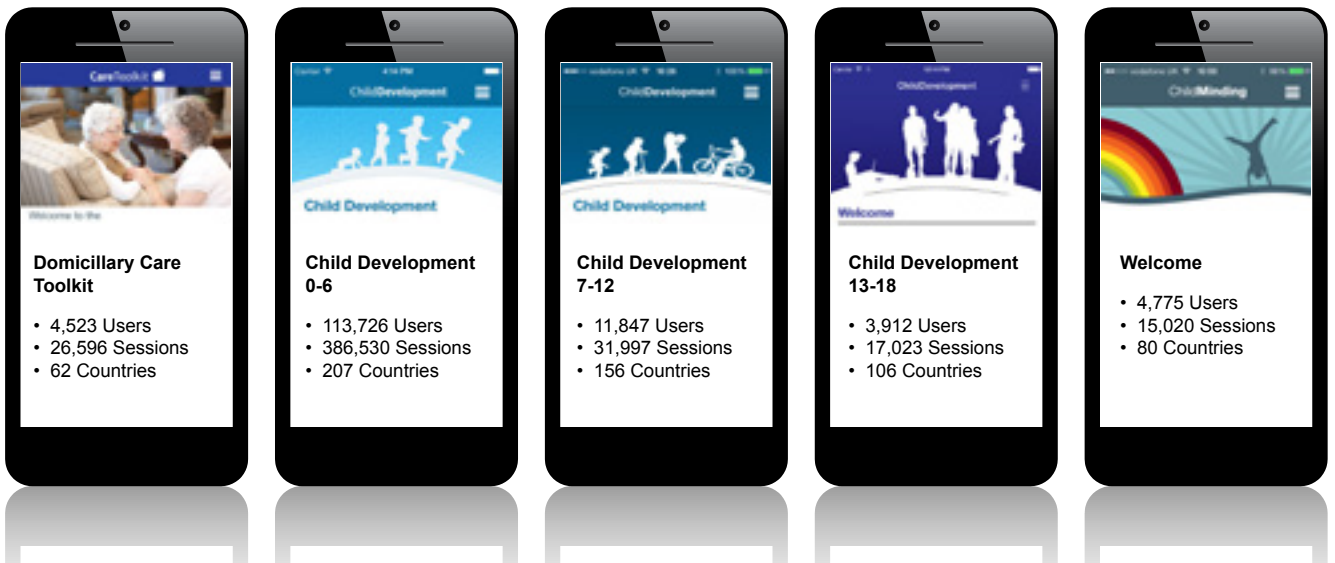
The seminars were recorded and posted on the NISCC YouTube channel to widen access to the learning.

- 305 people from social work and social care took part in these free sessions.
- 246 watched recordings from the seminars on NISCC's YouTube Channel.
- Participants said the opportunity to update their knowledge base in short time slots was very useful.
- Participants welcomed the sharing of presentations online.

## Mobile Learning

NISCC continued to develop new and innovative approaches and revised and re-launched its mobile application for the domiciliary care workforce in partnership with Dementia NI and other partners to bring in specialised areas of practice and helping them to support domiciliary care workers in their understanding of NISCC's Standards of Practice within the context of specialised areas of practice including dementia, delirium and end of life care.





The use of Apps continued to grow in 2016/17, with 'Understanding Child Development 0-6' continuing to be the strongest performing App of the suite.

- Launch published in North Down Advertiser and Lisburn Advertiser
- Following relaunch, App Sessions increased by 4,589 from December 2016 to March 2017
- Workshop on the Dom Care App provided for NHSCT support workers as part of their training day in February 2017



NISCC is also developing a digital resource for Adult Residential/Nursing and Day Care Workers similar in content to the Domiciliary Care App.

This project is being undertaken in partnership with a range of stakeholders and aims to support care workers in these settings.

NISCC worked in partnership with the Dementia Together NI Team and other key stakeholders (BHSCT, Bryson Care, RQIA and SCIE) to update the Domiciliary Care Toolkit App with new guidance on Dementia Care, Adult Safeguarding and NISCC Standards.

- 87 people – including managers, care workers, policy leads and education providers took part in the App relaunch
- 1030 people reached through Facebook

### STRATEGIC OBJECTIVE 3

NISCC will 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



During the year, NISCC delivered a programme of stakeholder communications and engagement to raise awareness about our work and deliver on Business objectives.

Through briefings, presentations, workshops, E-News updates, social media stories, You Tube videos and a range of printed materials NISCC delivered effective and meaningful engagement with key stakeholders; and used their feedback to inform and improve the services NISCC provides.

A number of Fitness to Practise and Registration Roll-out workshops were held across Northern Ireland. These events provided an overview of registration and NISCC standards - as well as supporting the workforce to maintain their registration.

- 288 registrants and managers took part in these sessions.
- Registrants found these shorter events, held close to their workplace, were more informative and accessible than all-day sessions in Belfast.

- Managers told us that local events and publicity supported them to promote registration and standards in their organisations.

### Social Care Managers

The first of NISCC's Social Care Managers Forums met in Carrickfergus and Omagh. These events focused on a series of conversations to help managers build networks and share their expertise.

- 160 managers joined the conversations and they all said they found the events useful.
- Participants asked for this event to be repeated a few times every year to support them as managers.
- Participants said the information provided would enable them to take a lead role in sharing NISCC's message across their workplace.
- Participants appreciated the recognition for social care managers as professionals and the opportunity to discuss career development for them as social care managers.

NISCC is committed to listening to its stakeholders and using their feedback to continually improve its services. Throughout the year, NISCC has learned from people who use its services through online surveys, event evaluations,



focus groups and customer comments/ suggestions. A particular focus during the year was on the roll out of registration and raising awareness on the role of workforce regulation.

- 1255 new registrants and 112 employers shared their experiences of online registration and their understanding of standards/registration through the online survey.
- 80% agreed that online was a good method for registration.
- 90% of respondents confirmed a positive understanding of registration and raising standards.

NISCC led the Joint HSC Regulators event at the Northern Ireland Assembly.

This provided an opportunity for the regulators of the Health and Social Care professions in NI to meet with almost 100 public representatives and policy makers MLAs, stakeholder groups, and Commissioners.

- Regulators presenting at the event said it was the most productive session with public representatives they had to date.
- Health Committee Chair, Paula Bradley hosted the event and endorsed the positive contribution of workforce regulation.
- Keynote speaker Eddie Lynch, Older People's Commissioner, challenged regulators to embed dignity and protection in HSC services.
- 8 out of the 11 Health Committee Members participated in the full session.
- Department of Health speech highlighted NISCC achievements in raising social care workforce standards.



Colum Conway, Paula Bradley MLA & Julie Erskine

NISCC also hosted a Breakfast Seminar for over 20 Senior Executives to share the latest developments in workforce registration and regulation.

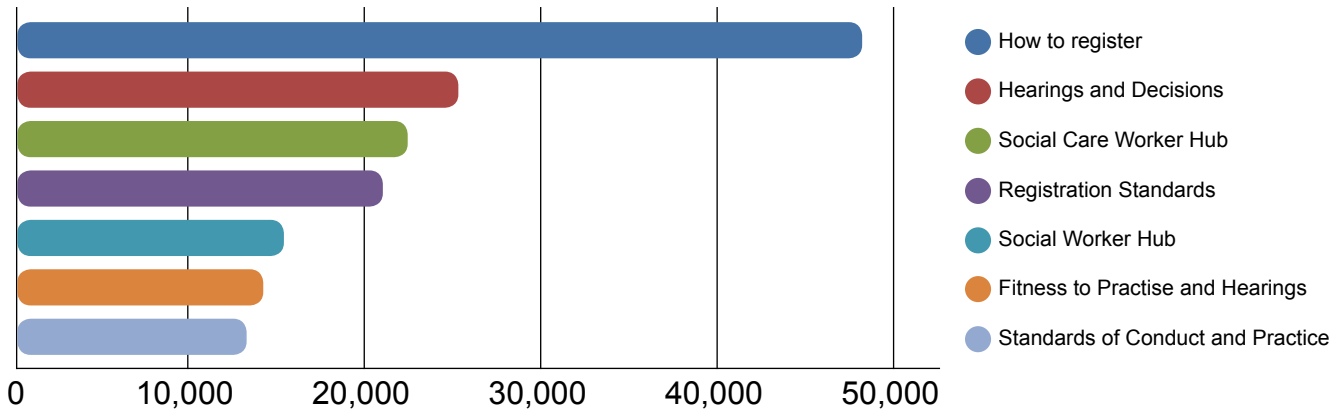
### Stakeholder Feedback

During 2016/17, 227,892 people contacted the NISCC Customer Service Team for assistance. All of these people were invited to provide feedback on the quality of service provided and to provide recommendations to improve NISCC services.

- 1016 people responded during the year, and 90% reported they found the service 'Good to Excellent'.
- 84 suggested improvements to online systems, information resources and staff training. These were shared with teams for ongoing training and included systems improvements such as adjustments to our phone systems to reduce queue times.
- The 46 respondents who reported a negative experience were followed up by the team to resolve their concerns.

## Digital Communications

### Website Top Ten Page Views 2016/17



NISCC focused on making better use of technology and building a stronger profile across our online communication platforms.

- NISCC’s website [www.niscc.info](http://www.niscc.info) continues to be a primary source of information and news for our stakeholders. Website activity increased by 16% to 199,181 useful sessions during 2016/17.
- The site structure was adapted to make it more mobile friendly with tailored hubs for user groups developed to make information more relevant. Most popular content sourced from the site were How to Register, Hearings, User Hubs and Standards.

## Social Media

### Twitter®



### @NISCC\_Comms

1,542 Twitter Followers at 31 March 2017 – an increase of 29% during the year

Best Tweet of the Year – Social Work Ambassadors

### Website Users

76% under 45years of age



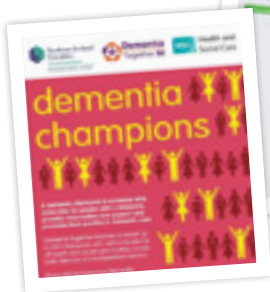
54%



46%



## Facebook®



[www.facebook.com/niscc](http://www.facebook.com/niscc)

828 Facebook Page Likes – reaching 55,668 people and engaging 2,803 throughout the year.

Most Popular Post for the year – Dementia Champions

- 1855 people reached
- 111 post clicks

## YouTube®



[www.youtube.com/theniscc](http://www.youtube.com/theniscc)

14 clips added to the NISCC YouTube Channel – attracting 3,507 views during 2016/17

- Most Viewed Clip for the Year – ‘How to Register Online’

# Corporate Services

To ensure NISCC has the necessary resources, people, governance and estates management arrangements in place to deliver its strategic objectives.

NISCC manages a number of its back office corporate functions through Service Level Agreements with the Business Services Organisation (BSO) – these include, finance, HR, audit, procurement, IT, legal, and equality. NISCC retains a small support service in respect of some of the areas covered by the SLA's in terms of governance and liaison.

NISCC is also a customer of the Shared Services Centres for payroll, income and recruitment. During 2016/17, NISCC extended these shared service arrangements to include the functions of information governance, estates management and health and safety. This enabled NISCC to reduce its complement by one Band 4.

## Resources

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 2016/17. NISCC managed its accounts through a robust framework and within guidelines and broke even at year end.

## People

NISCC continued to retain its IIP re-accreditation, which included its Bronze status award. As part of this process NISCC continued to implement its Continuous Improvement Plan to improve its people management and skills planning.

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 2016 using KSF.

NISCC also developed an action plan to address areas for improvement which were identified in the 2015/16 HSC Staff Survey and engaged staff and managers during 2016/17 to develop the action plan and ensure there was a partnership approach to delivering on the key actions.

## Governance

NISCC complied with its governance arrangements and framework during 2016/17 which included the development of a new Corporate Risk Register, Operational Risk Register and overarching Assurance Framework. In doing so, NISCC also updated its Risk Management Procedures and arranged training for staff. In addition all new staff appointed received risk management training.

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, also developed a 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 develop its Information Governance arrangements which, since 2015, were embedded in its overarching risk management arrangements. NISCC continued to ensure compliance with all areas of Information Governance including substantive assurance in its Controls Assurance Standard self-assessment. Training for Information Asset Owners also took place during 2016/17.

NISCC carried out a Business Continuity Test Exercise during 2016/17 and reviewed its Business Continuity Plan and Strategy. In addition, Internal Audit carried out an audit of the Emergency Planning Controls Assurance Standard for 2016/17 which was substantive. 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.

## Estate

NISCC developed a Property Asset Management Plan during 2016/17 to better manage its estate and deliver best value for money in relation to its premises at Millennium House. The Plan was reviewed during the year, and a new Plan will be developed in 2017/18.

NISCC also formed an Accommodation Working Group during the year to review its accommodation needs ahead of its current lease expiring during 2016/17. NISCC's business case was submitted to the DoH and was approved which enabled NISCC to sign a new 5-year lease for its current premises at Millennium House.

# Personal Public Involvement (PPI) Report 2016/17

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 Partnership developed accessible materials (layout for agenda and minutes) to ensure that meetings were accessible for all and developed an easy read version of NISCC Standards of Conduct and Practice. They provided a service user and carer voice for the annual NI Social Work Awards by providing judges for each award category a key event that celebrates the best of social work. Uel McIlveen, a former member and Maria Somerville alongside Geraldine Campbell, Chair of the Partnership co-authored a book chapter for a Social Work text profiling NISCC's Participation model, the book will be launched in May 2017. Neil Irvine from the Partnership was successful in gaining a place at Queen's University Belfast to train as a social worker. He also

played a key role in the launch of NISCC's social work ambassador scheme. Anne Mallon, a Participation Partnership member participated in an interview with host, Wendy Austin at NISCC's conference 'Better Practice Better Outcomes' highlighting the contribution of social care in Northern Ireland and participated interviews for NISCC Committee Members.



# Performance Report – Performance Analysis

NISCC set eleven business objectives in 2016/17 in support of its overarching strategic objectives. NISCC is pleased to report that all the majority of its objectives were delivered during the year.

It was supported in doing so by a wide range of performance indicators and KPI's across all aspects of its business. The key indicators are set out below.

Registration - KPI	Target	Outcome
Process 90% of completed applications/renewals within 20 working days of receiving the completed application	90%	81%
Commence the removal process for 90% of registrants within 5 working days after the due date for unpaid annual fees/failure to renew	90%	98%
Update the register for 100% of Committee decisions within 5 working days of receipt of the information from the Committee Team	100%	98%
Increase the number of Registrants using the Online Portal to register to 70%	70%	88.3%

Committee - KPI	Target	Outcome
Conclude 90% of Fitness to Practise hearings under the Fitness to Practise procedure within 5 months of the date of transfer	90%	88%
Conclude 90% of Fitness to Practise hearings under the health procedure within 8 months of the date of transfer	90%	0%

Fitness to Practise - KPI	Target	Outcome
Conclude 90% of Fitness to Practise cases within 15 months of opening the case	90%	94%
Conclude or refer to a Fitness to Practise hearing 80% of cases at investigation stage within 7 months	80%	79%
Conclude or refer to a Fitness to Practise hearing 85% of cases at investigation stage within 12 months	85%	90%
Conclude 100% of ISO hearings within 4 weeks of referral	100%	100%
Conclude 90% of suitability assessments within one month of the case being created	90%	85%

Workforce Development - KPI	Target	Outcome
Conclude the quality assurance process with all approved social work education and training providers within 2 months of receipt of annual reports.	100% in 2 months	100%
Conclude the annual audits of social workers and social care managers PRTL within 2 months of the commencement of the audit.	20%	6%
Provide a minimum of 15 face to face engagement opportunities with social workers and social care workers to promote and support continuous learning and development	15	100%

Communications - KPI	Target	Outcome
100% of employers in social care across NI are aware of their responsibilities for registering their social care staff	100%	100%
Contact 100% of those newly registered including their employees, to establish a benchmark of registrants' understanding of the NISCC's Standards of Conduct and Practice	100%	100%
85% of people involved in NISCC's partnerships report that their involvement has influenced the work of NISCC	85%	85%

Corporate Services - KPI	Target	Outcome
Deliver our services to a high quality so that at least 80% of our customers view our services as good to excellent.	80%	90%
Respond to 100% of complaints about NISCC staff and/or its services within 20 working days of receipt	100%	100%
Comply with our legal obligations to respond to FOI queries (within 20 working days) and DPA requests (within 40 calendar days)	100%	93%
Deliver breakeven target of £20k	£20k	100%
Pay 95% invoices upon full completion/receipt within 30 days	95%	98%
98% of staff have an annual appraisal completed and a new learning plan and objectives set by May 2017	98%	98%
Maintain sickness absence levels to below 3%	3%	5.26%



## Performance Analysis

### Registration

The roll out of registration had a significant impact on KPI's in the final quarter of 2016/17 and therefore the overall cumulative percentage. As anticipated, a significant number of applications were received during the year, which affected the ability to meet standard KPI targets around processing and approvals. This was closely monitored and regularly reported to NISCC's Senior Management Team and the roll out Project Board to ensure the workload was managed appropriately. This spike in business however is expected to normalise during the next business year.

At the same time, the uptake in the number of people using the online Portal to register exceeded expectation and will continue to be promoted as the primary way to register and renew registration with NISCC.

### Committee

The Committee KPI's in relation to Fitness to Practise hearings are indicative of firstly the low volume of activity in this area (e.g. 88% is based on two hearings out of 17), and the complexity and sensitivity of hearings under the health procedure, and finally the availability of third parties to effectively progress hearings. NISCC works closely with those parties involved in hearings to do what it can to expedite hearings in line with its Fitness to Practise rules and regulations.

### Workforce Development

NISCC identified a KPI for the first time in 2015/16 to measure and report on the number of social workers who are actively engaged with the Professional in Practice credit system.

NISCC recognised during 2016/17 that its KPI was unreasonable and has reviewed this target to ensure it is both realistic and challenging going forward.

### Corporate Services

NISCC's staff absence rate (and associated KPI) was not met during 2016/17. While NISCC recognises that its target (of 3%) is lower than other HSC organisations, a small number of staff were unfit to work on a long term basis during the year. While NISCC continued to support its staff on long terms sick absence in line with its Attendance Management Procedure, it was unable to keep within its KPI target. NISCC will continue to work with staff during the next business year and will find positive and pro-active ways to help reduce its absentee levels, including continuing to promote health and wellbeing initiatives.

NISCC has a staffing resource of 64 (WTE) of whom 24% work on a part-time or compressed hours basis. Details of NISCC's staffing composition and policies can be found in the staffing report in the Remuneration and Staff Report.

## Business Trends

### Registration

Due to the planned phased roll out, the register has increased significantly this year, from 24,478 in 2015/16 to 32,390 in 2016/17. Registration of this workforce will continue into the first quarter of 2017/18, completing the final phase of roll out. It is estimated that the register will level out at approximately 37,000. This will need careful management within existing resources while managing the registration business to deliver high quality services to a much extended workforce.

## Regulation

There has been a slow and steady increase in the volume of regulation activity over the last number of years.

This work has been manageable under the current structure however this will need careful consideration following the roll out of registration to the domiciliary care and day care workforce which has expanded the size of the register to over 32,000 in 2016/17. It is anticipated that this increase in the size of the register will have a direct impact on the volume of complaints being received.

## Engagement

NISCC managed a significant engagement programme during 2016/17 with thematic workshops, lunchtime seminars, Social Work and PiP awards and expanded use of social media. NISCC continued to evaluate its engagement and recognises that communication and engagement must remain at the core of its functions to effectively discharge its strategic objectives.

## 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.

In support of this, NISCC developed a Sustainable Development Report and plan as part of its commitment to reducing its carbon footprint and waste. It supported the engagement of an HSC Facilities Management Contract which has provided opportunities to support the sustainability agenda (new lighting, opportunities for better waste management, etc.).

NISCC also developed a wide range of environmental and waste management Key Performance Indicators to measure tangible improvements against its sustainability agenda.

These are in line with the DoH's commitment to sustainability as expressed in its plan 'Focus on the Future.' NISCC has put in place a number of positive actions across the following areas:



- 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

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 2016/17. 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

Date: 6 July 2017



## Section 2

Accountability Report



# Corporate Governance Report

## Director's Report

**NISCC's Mission:** 'We will protect the public by promoting public confidence, competence and credibility in the social care workforce'

### Confidence

- Registrants are safe and competent to practise
- Systems of regulation are effective to protect the public from any risk

### Competence

- Training is fit for purpose
- Training is evidence based
- Knowledge and skills are continually improved through lifelong learning

### Credibility

- Council operates in such a way that it protects the public effectively, while recognising the rights of registrants to be treated fairly
- Social care workers make a valuable contribution to society
- Social care is a worthwhile and rewarding career

### Strategic Objectives, Aim and Principles

In order to fulfil its Mission in an increasing challenging environment, NISCC has three strategic objectives which are to:

- Improve the quality of social care and ensure a safe social care workforce through workforce regulation;
- Ensure that qualifications and standards deliver a skilled and committed social care workforce; and
- 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's strategic objectives are supported by an overarching corporate objective to

***'ensure NISCC has the necessary resources, people, governance and estate management arrangements in place to deliver its strategic objectives'.***

**NISCC's Aim is to:** 'Protect the public through improving safeguards for vulnerable people, raising the standards of social care practice and strengthening the professionalism of the workforce.'

**To achieve this NISCC will:**

- Set standards of practice for social care workers and their employers to promote a safe, reliable and competent workforce;
- Register the social care workforce to assure the public that a social care worker is registered with NISCC will be viewed as safe and competent to practice;
- Regulate social work training to ensure it prepares staff to do the job expected of them;
- Promote education and training for all social care staff;
- Engage the views of service users, carers, registrants and other stakeholders in developing and delivering our business.

**NISCC has agreed a set of principles in support of its work. These are:**

- Service user and carer involvement: Ensuring service users and carers can influence, challenge and advise the work of NISCC.
- Enable, support and value: Supporting Council Members, staff, service users and carers to maximise their contribution to the work of NISCC.
- Inclusive Leadership: Working with the social care workforce, service users and carers and other stakeholders in a spirit of constructive partnership.

- Equity and Fairness: Supporting equality and valuing diversity.
- Committed to Excellence: Continually seeking to improve what we do and how we do it.
- Quality Services: Ensuring we deliver high quality services to our registrants at all times.

**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 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, 7th 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 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 were three data related incidents reported during 2016/17. Data Security Management Breach procedures were followed and assurance was provided to the SIRO that immediate action had been taken to resolve the incidents. NISCC was not required to report these incidents to the Information Commissioners Office (ICO) as they did not meet the severity threshold.

## Complaints

NISCC received four written complaints about its services during 2016/17. Of these three 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.

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

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 reviewed its Complaints Policy during the year to make this more accessible to those who may wish to complain about NISCC's services or its staff.

The Policy and advice on what to do if you wish to complain is published on NISCC's website at [www.niscc.info](http://www.niscc.info)

## 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

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.



**Mark Bradley**

Director of Registration & Corporate Services

Has responsibility for the Registration function and for Corporate Services, which includes Finance, HR, IT Development, Procurement, Estates and Governance.



**Patricia Higgins**

Director of Regulation & Standards

Has responsibility for Workforce Development and Regulation.



## 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.

## Council Membership

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

The Council is chaired by Mr James Perry, who was supported by 11 Members during 2016/17:

- **Joe Blake**
- **Neil Bodger**
- **Geraldine Campbell**
- **Julie Erskine**
- **Ruth Lavery**
- **Brenda Maitland**
- **Maire McMahon**
- **Catherine McPhillips**
- **Anne O'Reilly**
- **Trevor Spratt**
- **Lee Wilson**

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. 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 2016/17 to ensure itself that it demonstrates good practice in all areas of governance and accountability. As part of this Council carried-out case studies to review key areas of work, and as a result of the Assessment and case study review, 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  
7th 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 Ruth Lavery) 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 53.
- The Remuneration Committee (chaired by Mr James Perry) 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.

In addition to NISCC's Partnerships set out above, NISCC also established a Professional Issues Review Group which comprises both Council Members and staff to identify issues for NISCC coming out of developments on the future of social work in other parts of the UK, Ireland and the wider European Union.

## 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 2016/17 compliance with the Emergency Planning and HR Management Controls Assurance Standards were also subject to verification by Internal Audit.

During 2016/17, 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. These are outlined in the table below.

Action plans have been developed for all gaps in compliance identified in the 2016/17 assessment and will be monitored and reported to SMT, Audit and Risk Assurance Committee and Council throughout the forthcoming year.

Standard	DoH Expected Level of Compliance	Level of Compliance Achieved	Reviewed by
Emergency Planning	Substantive	Substantive	Internal Audit
Environmental Management	Substantive	Substantive	Self-Assessed
Financial Management	Substantive	Substantive	Internal Audit
Fire Safety	Substantive	Substantive	Self-Assessed
Governance	Substantive	Substantive	Internal Audit
Health & Safety	Substantive	Substantive	Self-Assessed
Human Resources	Substantive	Substantive	Internal Audit
ICT	Substantive	Substantive	Self-Assessed
Purchasing and Supply	Substantive	Substantive	Self-Assessed
Information Governance	Substantive	Substantive	Internal Audit
Risk Management	Substantive	Substantive	Internal Audit
Security Management	Substantive	Substantive	Self-Assessed
Waste Management	Substantive	Substantive	Self-Assessed



**Colum Conway**  
Chief Executive

Date: 6 July 2017

# Corporate Governance Report

## Statement of Accounting Officer Responsibilities

### Accounts for Year Ended 31 March 2017

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 accrual 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 (FRoM) 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 FRoM 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 Accounting Officer Memorandum, issued by the Department of Health.

## Accounts for Year Ended 31 March 2017

### Certificates of the Chair and Chief Executive

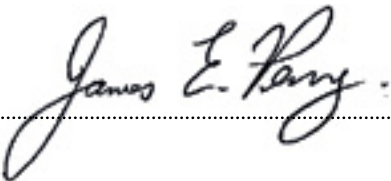
I certify that the annual accounts set out in the financial statements and notes to the accounts (pages 78 - 107) which I am required to prepare on behalf of Northern Ireland Social Care Council have been compiled from and are in accordance with the accounts and financial records maintained by the Northern Ireland Social Care Council and with the accounting standards and policies for HSC bodies approved by the DoH.

  
.....

#### Chief Executive

Date: 6th July 2017

I certify that the annual accounts set out in the financial statements and notes to the accounts (pages 78-107) as prepared in accordance with the above requirements have been submitted to and duly approved by the Council.

  
.....

#### Chair

Date: 6th July 2017

  
.....

#### Chief Executive

Date: 6th July 2017

# Corporate Governance Report

## Governance Statement 2016/17

### 1. Introduction / Scope of Responsibility

The Northern Ireland Social Care Council (NISCC) is accounting 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 Chair of Council appraise 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.

The outlook for 2017-18 is increasingly constrained, particularly in respect of resource funding. In a statement to the House of Commons on 24 April 2017 the Secretary of State for Northern Ireland outlined an indicative Budget position for NI departments. This position was based on the advice of the Head of the NI Civil Service (NICS) in conjunction with the NICS Board. The purpose of this statement was to provide clarity to departments as to the basis for departmental allocations in the absence of an Executive, so that Permanent Secretaries can plan and prepare to take more detailed decisions in that light. The departmental allocations set out by the Secretary of State provide the basis on which departments are now planning for 2017-18. However, the Secretary of State was clear that the indicative budget position did not constrain the ability of an incoming Executive to adjust its priorities during the year. He also advised that some £42 million Resource DEL and £7 million Capital DEL was left unallocated in order to maintain flexibility for a new Executive to allocate resources to meet further priorities as they deem appropriate. Therefore, while there is the potential for an incoming Executive to adjust these plans and also to allocate the unallocated resources, individual departments cannot anticipate any additional funding at this stage until such decisions are made.

Across the HSC sector it is expected that the significant financial challenges faced will intensify and extensive budget planning work to support the 2017-18 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 2017 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. In doing so, the Council carried out a Case Study, to meaningfully assist it in addressing areas of concern or where improvement may be required. 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	<b>Green</b>
1.2 Balance and calibre of Board members	<b>Green</b>
1.3 Role of the Board	<b>Green</b>
1.4 Committees of the Board	<b>Green</b>
1.5 Board member commitment	<b>Green</b>
<b>2. Board Evaluation, Development and Learning</b>	
2.1 Effective Board level evaluation	<b>Green</b>
2.2 Whole Board development programme	<b>Amber/Green</b>
2.3 Board induction, succession and contingency planning	<b>Green</b>
2.4 Board member appraisal and personal development	<b>Green</b>
<b>3. Board Insight and Foresight</b>	
3.1 Board performance reporting	<b>Green</b>
3.2 Efficiency and Productivity	<b>Green</b>
3.3 Environmental and strategic focus	<b>Green</b>
3.4 Quality of Board papers and timeliness of information	<b>Green</b>
3.5 Assurance and risk management	<b>Green</b>
<b>4. Board Engagement and Involvement</b>	
4.1 External stakeholders	<b>Amber/Green</b>
4.2 Internal stakeholders	<b>Green</b>
4.3 Board profile and visibility	<b>Amber/Green</b>



### 3. Governance Framework

The Council provides strategic leadership to NISCC and comprises a Chair and 12 Members (there is currently a Council Member vacancy) who are 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 Standing Orders, Scheme of Delegation and Financial Memorandum in 2016. The Management Statement and Financial Memorandum (MSFM) is currently under review with the Department. 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 2016/17 the Council attendance was:**

<b>Chair/Council Member</b>	<b>Attendance at Council During 2016/17 (%)</b>
Mr James Perry, Chair	100%
Mr Joseph Blake, Council Member	75%
Mr Neil Bodger, Council Member	100%
Mrs Geraldine Campbell, Council Member	75%
Mrs Julie Erskine, Council Member	100%
Mrs Ruth Lavery, Council Member	75%
Brenda Maitland, Council Member	75%
Mrs Maire McMahon, Council Member	100%
Catherine McPhillips, Council Member	100%
Anne O'Reilly, Council Member	75%
Dr Trevor Spratt, Council Member	100%
Lee Wilson, Council Member	100%

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

	Council Strategic	Audit & Risk Assurance Committee	Remuneration Committee	Participation Partnership	Workforce Development Partnership	Professional in Practice Partnership
Frequency of Meetings in 2016/17	3	4	1	6	3	4
J Perry	100%	N/A	100%	N/A	N/A	N/A
J Blake	33.3%	N/A	N/A	N/A	N/A	100%
N Bodger	100%	N/A	100%	N/A	67%	N/A
G Campbell	66.6%	N/A	N/A	100%	N/A	N/A
J Erskine	33.3%	100%	N/A	N/A	N/A	N/A
R Lavery	100%	100%	N/A	N/A	N/A	N/A
B Maitland	33.3%	N/A	N/A	84%	N/A	N/A
M McMahon	100%	75%	N/A	N/A	N/A	N/A
C McPhillips	33.3%	N/A	N/A	N/A	N/A	75%
A O'Reilly	100%	25%	N/A	N/A	100%	N/A
T Spratt	100%	N/A	N/A	N/A	N/A	N/A
Lee Wilson	100%	N/A	100%	50%	N/A	N/A

Note 1: NISCC's Registrants Forum does not include Members of Council

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. The Audit and Risk Assurance Committee identified a couple of actions as a result of carrying out the 2016/17 Audit Committee self-assessment checklist, namely:

- The attendance of Council Members at Council, Strategic, Committee and Partnership meetings will be formally reported to the Chair of Council on a quarterly basis;
- Council will use a strategic session to enhance its understanding of the role of the Audit and Risk Assurance Committee which will also form a core part of the induction of all new Council Members.

#### 4. Business Planning and Risk Management

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 new 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. Once finalised, the Corporate Plan will be 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 is reviewed on a quarterly basis by Senior Managers which informs reporting on NISCC's Business Plan.

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.

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 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.

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.

## 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.32,000) 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 size and structure of the organisation the members of the Risk Management Committee (risk co-ordinators) are also the organisation's Information Asset Owners.

NISCC has a number of policies and strategies in place that support its risk management. 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 the NISCC 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 2016/17.

The organisation achieved the following levels of compliance for 2016/17:

Standard	DoH Expected Level of Compliance	NISCC Level of Compliance	Audited by Internal Audit, BSO
Emergency Planning	75% - 99% (Substantive)	91	Assessed
Environmental Management	75% - 99% (Substantive)	89	Not Assessed
<b>Financial Management (Core Standard)</b>	75% - 99% (Substantive)	93	Assessed
Fire Safety	75% - 99% (Substantive)	91	Not Assessed
<b>Governance (Core Standard)</b>	75% - 99% (Substantive)	94	Assessed
Health & Safety	75% - 99% (Substantive)	93	Not Assessed
Human Resources	75% - 99% (Substantive)	86	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)	89	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)

## 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.

In 2016/17 Internal Audit reviewed the following systems:

- Risk Management Review, providing a substantive assurance
- Complaints Management, providing a satisfactory assurance
- Financial Management Review, providing a satisfactory assurance
- Fitness to Practise, providing a substantive 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.

## 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 2015/16

In 2015/16, issues in relation to the Shared Services model (which is provided through the Business Services Organisation) arose which resulted in limited assurance being provided in two Shared Services audits both of which were in relation to Payroll Shared Services (a September 2015 audit and a March 2016 audit). In addition, the Recruitment Shared Services audit was unacceptable. The Recruitment Shared Services audit is now limited assurance (2016/17) however significant concerns still remain. All other audits remain satisfactory.

### Internal Control Issues not yet Resolved 2015/16

As indicated above a number of concerns remain in relation to some of the Shared Services functions with moderate improvement in Recruitment but a large number of recommendations remain outstanding, including those in relation to Payroll Shared Services.

## Internal Control Issues 2016/17

In 2016/17, the following Shared Service audits were carried out:

Shared Service Audit	Assurance
Payroll Shared Services (August 2016)	Limited
Payroll Shared Services (March 2017)	Unacceptable - Payroll System and Function stability Limited - Payroll Processing
Recruitment Shared Services (August 2016)	Limited
Recruitment Shared Services (February 2017)	Limited
Business Services Team	Satisfactory
Accounts Payable Shared Services	Satisfactory
Income Shared Services	Satisfactory
FPL Upgrade (Ongoing Work)	N/A

As can be seen above, Payroll Shared Services has continued to receive unsatisfactory and limited assurance with a number of Priority 1 findings. NISCC is addressing this robustly with BSO to ensure outstanding recommendations are implemented fully and evidence of service improvement is in place. In addition to concerns in relation to Payroll Shared Services, audits of Recruitment Shared Services resulted in limited assurance (from the 2015/16 unacceptable assurance). NISCC will be addressing these significant concerns with BSO during the year 2017/18.

The outlook for 2017-18 is increasingly constrained, particularly in respect of resource funding. In a statement to the House of Commons on 24 April 2017 the Secretary of State for Northern Ireland outlined an indicative Budget position for NI departments. This position was based on the advice of the Head of the NI Civil Service (NICS) in conjunction with the NICS Board.

The purpose of this statement was to provide clarity to departments as to the basis for departmental allocations in the absence of an Executive, so that Permanent Secretaries can plan and prepare to take more detailed decisions in that light. The departmental allocations set out by the Secretary of State provide the basis on which departments are now planning for 2017-18. However, the Secretary of State was clear that the indicative budget position did not constrain the ability of an incoming Executive to adjust its priorities during the year. He also advised that some £42 million Resource DEL and £7 million Capital DEL was left unallocated in order to maintain flexibility for a new Executive to allocate resources to meet further priorities as they deem appropriate. Therefore, while there is the potential for an incoming Executive to adjust these plans and also to allocate the unallocated resources, individual departments cannot anticipate any additional funding at this stage until such decisions are made.

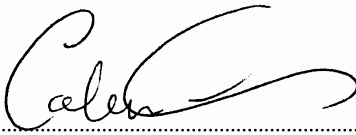


Across the HSC sector it is expected that the significant financial challenges faced will intensify and extensive budget planning work to support the 2017-18 financial plan is ongoing between the NISCC and the Department of Health (DOH). However, as with other financial years the [insert body] remains committed to achieving financial break-even.

## 11. 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 2016/17.



**Colum Conway**

**Chief Executive**

Northern Ireland Social Care Council

6 July 2017

# 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 2016/17:

- 11 May 2016
- 29 June 2016
- 12 October 2016
- 15 February 2017

During the 2016/17 financial year, membership of the Audit and Risk Assurance Committee was as follows:

April 2016 – March 2017	Attendance at Audit & Risk Assurance Committee (%)
Mrs Ruth Lavery	100%
Mrs Julie Erskine	100%
Mrs Maire McMahon	75%
Mrs Anne O'Reilly	25%

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 Mark Bradley. Mr Bradley 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 2016/17 financial year, NISCC's Audit and Risk Assurance Committee undertook the following tasks:

- Agreed an Internal Audit Plan.
- Considered an External Audit Strategy.
- Reviewed its Terms of Reference.
- Reviewed and endorsed a revised Risk Management Strategy Strategy.
- Reviewed NISCC's Business Continuity Plan and 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 2016/17
- 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 2016/17.
- Considered the RQIA's Review of Whistleblowing in the HSC.

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 2016/17, 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.

# Corporate Governance Report

## Reuneration and Staff Report

### Remuneration Report for the Year Ended 31 March 2017

#### 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 July 2016.

#### 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

Name	Position	Date of Appointment
James Perry	Chair	15 April 2013

### Non-Executive Directors

Name	Position	Date of Appointment
Joseph Blake	Council Member	1 October 2007
Neil Bodger	Council Member	18 July 2011
Geraldine Campbell	Council Member	1 October 2007
Julie Erskine	Council Member	1 October 2007
Ruth Lavery	Council Member	1 October 2007
Brenda Maitland	Council Member	1 October 2014
Maire McMahon	Council Member	1 October 2007
Catherine McPhillips	Council Member	3 November 2014
Anne O'Reilly	Council Member	1 December 2014
Trevor Spratt	Council Member	1 October 2007
Lee Wilson	Council Member	1 September 2014

### Executive Directors

Name	Position	Date of Appointment
Mr Colum Conway	Chief Executive	20 May 2013
Mr Mark Bradley	Director of Registration and Corporate Services	6 October 2008
Mrs Patricia Higgins	Director of Regulation and Standards	1 June 2002

### 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 2016/17, or 2015/16.

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.

During 2016/17 there were no early retirements from NISCC agreed on the grounds of ill-health.

# Corporate Governance Report

## Staff Report for Year Ended 31 March 2017

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 2016/17 was 5.26% which was in excess of NISCC's corporate target to maintain absences at 3%. While NISCC recognises that this was a challenging target, it will be looking at the influencing factors contributing to this increase during 2017/18 and working to bring the absence rate back on target.

### Staff Composition

NISCC has 73 WTE staff – 24% 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 :

Pay Band	% of workforce
Band's 2/3	41%
Band's 4/6	37%
Band's 7/8	17%
SMT	5%

The composition of staff by function is below:

Pay Band	% of workforce
Registration	30%
Operations	17%
Fitness to Practise	13%
Workforce Development	13%
Communications	11%
Database	6%
Committee	5%
SMT	5%

The composition of staff by gender is below :

Pay Band	Male	Female
Band's 2/3	54%	46%
Band's 4/6	17%	83%
Band's 7/8	18%	82%
SMT	66.5%	33.5%
<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 Policies

A number of staff policies were reviewed during the year 2016/17:

- Complaints Policy;
- Gifts and Hospitality Policy;
- Environmental and Waste Management Policy;
- Procurement Policy;
- Attendance at Work Policy and Procedures;
- Equality of Opportunity Policy;
- Flexi Time Scheme;
- Harassment, Bullying and Intimidation Policy;
- Working Well Together Policy;
- Zero Tolerance Policy;
- Secondment Policy;
- Fire Safety Policy;
- Health and Safety Policy;
- Manual Handling Policy;
- No Smoking Policy;
- Access to Information Policy;
- Clear Desk and Screen Policy;
- Confidentiality Policy;
- Disclosure Policy;
- Data Quality Policy;
- Data Security Breach Management Policy

These policies were consulted on, including with the Trade Unions, and were endorsed by Council during 2016/17.

## Staff Costs

Staff costs comprise:	2017			2016
	Permanently employed staff £000s	Others £000s	Total £000s	Total £000s
Wages & Salaries	1,680,642	79,520	1,760,162	1,732,952
Social security costs	152,468		152,468	123,614
Other pension costs	214,878		214,878	212,236
<b>Sub total</b>	<b>2,047,988</b>	<b>79,520</b>	<b>2,127,508</b>	<b>2,068,117</b>
Capitalised staff costs			0	
<b>Total staff costs reported in Statement of Comprehensive Expenditure</b>	<b>2,047,988</b>	<b>79,520</b>	<b>2,127,508</b>	<b>2,068,117</b>
Less recoveries in respect of outward secondments			0	0
<b>Total net costs</b>			<b>2,127,508</b>	<b>2,068,117</b>

Staff Costs exclude £NILK charged to capital projects during the year (2016 £NILK)

## Average number of persons employed

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

	Permanently employed staff No.	2017		2016
		Others No.	Total No.	Total No.
Administrative and clerical	63	3	66	67
Social Services	7	0	7	7
Less average staff number relating to capitalised staff costs	0	0	0	0
Less average staff number in respect of outward secondments	0	0	0	0
<b>Total average number of persons employed</b>	<b>70</b>	<b>3</b>	<b>73</b>	<b>74</b>

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 DHSSPS. The NISCC is unable to identify its share of the underlying assets and liabilities in the scheme on a consistent and reliable basis.

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. A full valuation as at 31 March 2012 was certified in February 2015 and is used in the 2015/16 accounts.



### Senior Management Remuneration (Audited)

The salary, pension entitlements and the value of any taxable benefits in kind of the most senior members of the NISCC were as follows:

Name	2016/17					2015/16				
	Salary £000s	Bonus / Performance Pay £000s	Benefits in kind (rounded to the nearest £100)	Pension Benefits £'000s	Total £'000s	Salary £000s	Bonus / Performance Pay £000	Benefits in kind (rounded to the nearest £100)	Pension Benefits £'000s	Total £'000s
<b>Non-Executive Members</b>										
Mr James Perry, Chair	15-20	-	-	-	15-20	15-20	-	-	-	15-20
Mr Joseph Blake, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Mr Neil Bodger, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Mrs Geraldine Campbell, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Mrs Julie Erskine, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Mrs Ruth Lavery, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Mrs Brenda Maitland, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Mrs Maire McMahon, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10

### Senior Management Remuneration (Audited)

The salary, pension entitlements and the value of any taxable benefits in kind of the most senior members of the NISCC were as follows:

Name	2016/17					2015/16				
	Salary £000s	Bonus / Performance Pay £000s	Benefits in kind (rounded to the nearest £100)	Pension Benefits £'000s	Total £'000s	Salary £000s	Bonus / Performance Pay £000	Benefits in kind (rounded to the nearest £100)	Pension Benefits £'000s	Total £'000s
<b>Non-Executive Members</b>										
Mrs Catherine McPhillips, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Ms Anne O'Reilly, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Dr Trevor Spratt, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10
Mr Lee Wilson, Council Member	5-10	-	-	-	5-10	5-10	-	-	-	5-10

### Senior Management Remuneration (Audited)

The salary, pension entitlements and the value of any taxable benefits in kind of the most senior members of the NISCC were as follows:

Name	2016/17					2015/16				
	Salary £000s	Bonus / Performance Pay £000s	Benefits in kind (rounded to the nearest £100)	Pension Benefits £'000s	Total £'000s	Salary £000s	Bonus / Performance Pay £000	Benefits in kind (rounded to the nearest £100)	Pension Benefits £'000s	Total £'000s
<b>Executive Members</b>										
Colum Conway, CEO	70-75	-	100	17	85-90	70-75		100	17	85-90
Mark Bradley, Director of Registration and Corporate Services	65-70	-	200	20	85-90	65-70	-	300	26	90-95
Patricia Higgins, Director of Regulation and Standards	65-70	-	100	13	80-85	65-70	-	100	9	75-80

### Pensions of Senior Management (Audited)

Name	Accrued pension at pension age as at 31/03/17 and related lump sum £'000s	Real increase in pension and lump sum at pension age £'000s	CETV at 31/03/17 £'000s	CETV at 31/03/16 £'000s	Real increase in CETV £'000s
Mr James Pery	-	-	-	-	-
Mr Joseph Blake	-	-	-	-	-
Mr Neil Bodger	-	-	-	-	-
Mrs Geraldine Campbell	-	-	-	-	-
Mrs Julie Erskine	-	-	-	-	-
Mrs Ruth Lavery	-	-	-	-	-
Mrs Brenda Maitland	-	-	-	-	-
Mrs Maire McMahon	-	-	-	-	-
Mrs Catherine McPhillips	-	-	-	-	-
Ms Anne O'Reilly	-	-	-	-	-
Dr Trevor Spratt	-	-	-	-	-
Mr Lee Wilson	-	-	-	-	-
Colum Conway, Chief Executive Officer	0-2.5	0-5	65	46	17
Mark Bradley, Director of Registration and Corporate Services	0-2.5 Plus lump sum of 0-2.5	15-20 Plus lump sum of 40-45	304	269	16
Patricia Higgins, Director of Regulation and Standards	0-2.5 Plus lump sum of 0-2.5	15-20 Plus lump sum of 55-60	443	400	21

## 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 2016-17 relate to performance in 2016-17 and the comparative bonuses reported for 2015-16 relate to the performance in 2015-16.

## 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.

**Disclosure 2016/17**

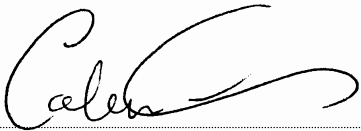
'Salary' includes gross salary; overtime; reserved rights to London weighting or London allowances; recruitment and retention allowances; private office allowances and any other allowance to the extent that it is subject to UK taxation and any gratia payments.

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

**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.



**Colum Conway**

**Chief Executive**

Date: 6 July 2017





## **Section 3**

Accountability and Audit Report



Northern Ireland Social Care Council

## **Accounts for the Year Ended 31 March 2017**

### **Foreword**

These accounts for the year ended 31 March 2017 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.

## Assembly Accountability and Audit Report

### Assembly Accountability Disclosure Notes

#### i. Losses and Special Payments (Audited)

Type of loss and special payment	2016/17		2015/16	
	Number of Cases	£		£
<b>Cash losses</b>				
Cash Losses - Theft, fraud etc				
Cash Losses - Overpayments of salaries, wages and allowances				
Cash Losses - Other cases				
	0	0		0
<b>Claims abandoned</b>				
Waived or abandoned claims				
	0	0		0
<b>Administrative write-offs</b>				
Bad debts				
Other				
	0	0		0
<b>Fruitless payments</b>				
Late Payment of Commercial Debt				
Other fruitless payments and constructive losses				
	0	0		0
<b>Store losses</b>				
Losses of accountable stores through any deliberate act				
Other stores losses				
	0	0		0
<b>Special payments</b>				
Compensation payments				
- Clinical Negligence				
- Public Liability				
- Employers Liability				
- Other				
	0	0		0
Ex-gratia payments	0	0		0
Extra contractual	0	0		0
Special severance payments	0	0		0
<b>TOTAL</b>	<b>0</b>	<b>0</b>		<b>0</b>

#### Special Payments:

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

## Northern Ireland Social Care Council

### Notes to the accounts for the year ended 31 March 2017

#### Other Payments and Estimates:

There were no other payments made during the year

#### Off-Payroll and Consultancy:


There were no off-payroll engagements or spend on consultancy during 2016/17.

#### Losses and Special Payments over £250,000

	2015/16		2014/15
	Number of Cases	£	£
<b>Losses and Special Payments over £250,000</b>			
<b>Cash losses</b>			
	0	0	0
<b>Claims abandoned</b>			
	0	0	0
<b>Administrative write-offs</b>			
	0	0	0
<b>Fruitless payments</b>			
	0	0	0
<b>Store losses</b>			
	0	0	0
<b>Special payments</b>			
	0	0	0
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>

#### ii Fees and Charges    iii Remote Contingent Liabilities

In addition to contingent liabilities reported within the meaning of IAS37, the NISCC also reports liabilities for which the likelihood of a transfer of economic benefit in settlement is too remote to meet the definition of contingent liability.



**Chief Executive**

Date: 6 July 2017

## Northern Ireland Social Care Council

### Statement of Comprehensive Net Expenditure for the Year Ended 31 March 2017

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	2017 £	2016 £
<b>Income</b>			
Income from activities	4.1	-	-
Other income (excluding interest)	4.2	1,238,813	868,779
Deferred income	4.3	-	-
<b>Total operating income</b>		<b>1,238,813</b>	<b>868,779</b>
<b>Expenditure</b>			
Staff costs	3	(2,127,508)	(2,068,117)
Purchase of goods and services	3	(25,977)	(22,855)
Depreciation, amortisation and impairment charges	3	(124,247)	(109,965)
Provision expense	3	-	-
Other expenditure	3	(1,695,362)	(1,823,530)
<b>Total operating expenditure</b>		<b>(3,973,094)</b>	<b>(4,024,467)</b>
<b>Net Expenditure</b>		<b>(2,734,281)</b>	<b>(3,155,688)</b>
Finance income	4.2	-	-
Finance expense	3.2	-	-
<b>Net expenditure for the year</b>		<b>(2,734,281)</b>	<b>(3,155,688)</b>
Revenue Resource Limit (RRL) received from DoH	24.1	2,745,471	3,161,734
<b>Surplus/(Deficit) against RRL</b>		<b>11,190</b>	<b>6,046</b>
<b>Other Comprehensive Expenditure</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	10,986	(1,592)
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 2017</b>		<b>(2,723,295)</b>	<b>(3,157,280)</b>

The notes on pages 78-107 form part of these accounts.

## Northern Ireland Social Care Council

### Statement of Financial Position as at 31 March 2017

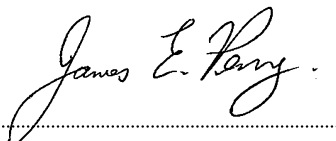
This statement presents the financial position of the NISCC. It comprises three main components: assets owned or controlled; liabilities owed to other bodies; and equity, the remaining value of the entity.

	NOTE	2017		2016	
		£	£	£	£
<b>Non Current Assets</b>					
Property, plant and equipment	5.1/5.2	56,074		67,577	
Intangible assets	6.1/6.2	257,839		342,945	
Financial assets	7	-		-	
Trade and other receivables	12	-		-	
Other current assets	12	-		-	
<b>Total Non Current Assets</b>			<b>313,913</b>		<b>410,522</b>
<b>Current Assets</b>					
Assets classified as held for sale	9	-		-	
Inventories	10	-		-	
Trade and other receivables	12	56,404		8,506	
Other current assets	12	42,382		24,501	
Intangible current assets	12	-		-	
Financial assets	7	-		-	
Cash and cash equivalents	11	62,439		36,717	
<b>Total Current Assets</b>			<b>161,225</b>		<b>69,724</b>
<b>Total Assets</b>			<b>475,138</b>		<b>480,246</b>
<b>Current Liabilities</b>					
Trade and other payables	13	(607,264)		(625,777)	
Other liabilities	13	-		-	
Intangible current liabilities	13	-		-	
Financial liabilities	7	-		-	
Provisions	15	-		-	
<b>Total Current Liabilities</b>			<b>(607,264)</b>		<b>(625,777)</b>
<b>Total assets less current liabilities</b>			<b>(132,126)</b>		<b>(145,531)</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>(132,126)</b>		<b>(145,531)</b>
<b>Taxpayers' Equity and other reserves</b>					
Revaluation reserve		26,902		15,916	
SoCNE Reserve		(159,028)		161,447	
<b>Total Equity</b>			<b>(132,126)</b>		<b>(145,531)</b>

The financial statements on pages 78-107 were approved by the Board on 6th July and were signed on its behalf by:



Chief Executive Date: 6 July 2017



Chair Date: 6 July 2017

The notes on pages 78-107 form part of these accounts.



## Northern Ireland Social Care Council

### Statement of Cashflows for the year ended 31 March 2017

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	2017 £	2016 £
<b>Cash flows from operating activities</b>			
Net surplus after interest/Net operating cost		(2,734,281)	(3,155,688)
Adjustments for non cash costs		132,747	118,465
(Increase)/decrease in trade and other receivables		(65,779)	75,737
<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		(18,513)	(7,069)
<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		8,253	(18,060)
Movements in payables relating to the purchase of intangibles		50,400	19,800
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 outflow from operating activities</b>		<b>(2,627,173)</b>	<b>(2,966,815)</b>
<b>Cash flows from investing activities</b>			
(Purchase of property, plant & equipment)	5	(24,905)	(12,463)
(Purchase of intangible assets)	6	(50,400)	(70,200)
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>		<b>(75,305)</b>	<b>(82,663)</b>

## Northern Ireland Social Care Council

### Statement of Cashflows for the year ended 31 March 2017

	NOTE	2017 £	2016 £
<b>Cash flows from financing activities</b>			
Grant in aid		2,728,200	3,052,600
Cap element of payments - finance leases and on balance sheet (SoFP) PFI and other service concession arrangements		-	-
<b>Net financing</b>		<u>2,728,200</u>	<u>3,052,600</u>
<b>Net increase (decrease) in cash &amp; cash equivalents in the period</b>		25,722	3,122
Cash & cash equivalents at the beginning of the period	11	<u>36,717</u>	<u>33,595</u>
Cash & cash equivalents at the end of the period	11	<u>62,439</u>	<u>36,717</u>

The notes on pages 78 to 107 form part of these accounts.

## Northern Ireland Social Care Council

### Statement of Changes in Taxpayers Equity for the Year Ended 31 March 2017

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 Statement of Comprehensive Net Expenditure Reserve (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 2015</b>		<b>(66,859)</b>	<b>17,508</b>	<b>(49,351)</b>
<b>Changes in Taxpayers Equity 2015-16</b>				
Grant from DoH		3,052,600	-	3,052,600
Transfers between reserves		-	-	-
(Comprehensive expenditure for the year)		(3,155,688)	(1,592)	(3,157,280)
Transfer of asset ownership		-	-	-
Non cash charges - auditors remuneration	3.2	8,500	-	8,500
<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
Transfers between reserves		-	-	-
(Comprehensive expenditure for the year)		(2,734,281)	10,986	(2,723,295)
Transfer of asset ownership		-	-	-
Non cash charges - auditors remuneration	3.2	8,500	-	8,500
<b>Balance at 31 March 2017</b>		<b>(159,028)</b>	<b>26,902</b>	<b>(132,126)</b>

## Northern Ireland Social Care Council

### Notes to the Accounts for the Year Ended 31 March 2017

#### Note 1 - 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.

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 2015 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
- 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.

### 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.

Asset Type	Asset Life
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.

## 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.

### **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.

### 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.

#### **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.

#### **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.

### 1.15 Private Finance Initiatives (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 NISCCs are not exposed to the degree of financial risk faced by business entities. NISCCs 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 NISCCs 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.

- **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 2017 or 31 March 2016.

### 1.18 Contingencies

The NISCC had no contingent assets or liabilities at either 31 March 2017 or 31 March 2016.

### 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 2017. 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 2012 valuation for the HSC Pension scheme will be used in the 2016-17 accounts

### 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.

### 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 2016. 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 2017**

#### **Note 2 - Analysis of the 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 Council 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 2017

#### Note 3 - Operating Expenses

##### Operating Expenses are as follows:-

	2017 £	2016 £
Staff costs: <sup>1</sup>		
Wages and Salaries	1,760,162	1,732,267
Social security costs	152,468	123,614
Other pension costs	214,878	212,236
Revenue grants to voluntary organisations	493,564	566,363
Supplies and services – general	25,977	22,855
Establishment	557,466	535,189
Transport	-	-
Premises	454,149	549,281
Interest charges	-	-
Miscellaneous	34,448	30,293
BSO Services	147,235	133,904
<b>Total Operating Expenses</b>	<b>3,840,347</b>	<b>3,906,002</b>
<b>Non cash items</b>		
Depreciation	26,765	24,712
Amortisation	96,092	85,253
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)	-	-
Loss on disposal of intangibles	-	-
Provisions provided for in year	-	-
Cost of borrowing provisions (unwinding of discount on provisions)	-	-
Auditors remuneration	8,500	8,500
<b>Total non cash items</b>	<b>132,747</b>	<b>118,465</b>
<b>Total</b>	<b>3,973,094</b>	<b>4,024,467</b>

<sup>1</sup> Further detailed analysis of staff costs is located in the Staff Report on page 59 within the Accountability Report.

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

## Northern Ireland Social Care Council

### Notes to the Accounts for the Year Ended 31 March 2017

#### Note 4 - Income

##### 4.1 Income from Activities

The NISCC had no income from activities in 2016/17 and 2015/16.

##### 4.2 Other Operating Income

	<b>2017</b>	<b>2016</b>
	<b>£</b>	<b>£</b>
Other income from non-patient services	1,238,813	868,779
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>1,238,813</b>	<b>868,779</b>

##### 4.3 Income from Activities

The NISCC had no income released from conditional grants in 2016-17 and 2015-16.

**Northern Ireland Social Care Council**  
**Notes to the Accounts for the Year Ended 31 March 2017**

**Note 5.1 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	-	-	-	-	20,406	-	182,522	-	202,928
<b>Depreciation</b>									
At 1 April 2016	-	-	-	-	20,406	-	115,302	-	135,708
Indexation	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	1,390	-	1,390
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to the revaluation reserve	-	-	-	-	-	-	-	-	-
Reversal of impairments (indexn)	-	-	-	-	-	-	(17,009)	-	(17,009)
Disposals	-	-	-	-	-	-	26,765	-	26,765
Provided during the year	-	-	-	-	-	-	-	-	-
At 31 March 2017	-	-	-	-	20,406	-	126,448	-	146,854

## Northern Ireland Social Care Council Notes to the Accounts for the Year Ended 31 March 2017

### Note 5.1 (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
	£	£	£	£	£	£	£	£
						56,074		56,074
-	-	-	-	-	-	67,577	-	67,577

#### Carrying Amount

At 31 March 2017

At 31 March 2016

#### Asset financing

Owned

Finance leased

On B/S (SoFP) PFI and other  
service concession arrangements  
contracts

#### Carrying Amount

At 31 March 2017

-	-	-	-	-	-	56,074	-	56,074
-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	56,074	-	56,074

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 (2016: £Nil).

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

	2017	2016
	£	£
Donations	-	-
Government Grant	-	-
Lottery Funding	-	-

**Northern Ireland Social Care Council**  
**Notes to the Accounts for the Year Ended 31 March 2017**

**Note 5.2 Property, Plant & Equipment - Year Ended 31 March 2016**

	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 2015	-	-	-	-	20,406	-	152,356	-	172,762
Indexation	-	-	-	-	-	-	-	-	-
Additions	-	-	-	-	-	-	30,523	-	30,523
Donations / Government grant / Lottery Funding	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to revaluation reserve	-	-	-	-	-	-	-	-	-
Reversal of impairments (indexn)	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	-	-	-
At 31 March 2016	-	-	-	-	20,406	-	182,879	-	203,285
<b>Depreciation</b>									
At 1 April 2015	-	-	-	-	20,406	-	90,590	-	110,996
Indexation	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to the revaluation reserve	-	-	-	-	-	-	-	-	-
Reversal of impairments (indexn)	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	-	-	-
Provided during the year	-	-	-	-	-	-	24,712	-	24,712
At 31 March 2016	-	-	-	-	20,406	-	115,302	-	135,708

## Northern Ireland Social Care Council Notes to the Accounts for the Year Ended 31 March 2017

### Note 5.2 (continued) Property, Plant & Equipment- Year ended 31 March 2016

Land	Buildings (excluding dwellings)		Dwellings		Assets under Construction		Plant and Machinery (Equipment)		Transport Equipment		Information Technology (IT)		Furniture and Fittings		Total	
	£	£	£	£	£	£	£	£	£	£	£	£	£	£	£	£
-	-	-	-	-	-	-	-	-	-	-	67,577	-	-	-	-	67,577
-	-	-	-	-	-	-	-	-	-	-	61,766	-	-	-	-	61,766

#### Carrying Amount

At 31 March 2016

At 1 April 2015

#### Asset financing

Owned

Finance leased

On SOFP PFI and other service concession arrangements contracts

#### Carrying Amount

At 31 March 2016

-	-	-	-	-	-	-	-	-	-	-	67,577	-	-	-	-	67,577
-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-	67,577	-	-	-	-	67,577

#### Asset financing

Owned

Finance leased

On SOFP PFI and other service concession arrangements contracts

#### Carrying Amount

At 1 April 2015

-	-	-	-	-	-	-	-	-	-	-	61,766	-	-	-	-	61,766
-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-	61,766	-	-	-	-	61,766



# Northern Ireland Social Care Council

## Notes to the Accounts for the Year Ended 31 March 2017

### Note 6.1 Intangible Assets - Year ended 31 March 2016

	Software Licences	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	50,268	581,775	-	-	-	-	-	-	632,043

<b>Amortisation</b>									
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	35,188	339,016	-	-	-	-	-	-	374,204

## Northern Ireland Social Care Council Notes to the Accounts for the Year Ended 31 March 2017

### Note 6.1 (continued) Intangible Assets - Year Ended 31 March 2017

	Software Licences	Information Technology	Websites	Development Expenditure	Licences, Trademarks & Artistic Originals	Patents	Goodwill	Payments on Account & Assets Under Construction	Total
£	£	£	£	£	£	£	£	£	£
15,080	242,759	-	-	-	-	-	-	-	257,839
21,044	321,901	-	-	-	-	-	-	-	342,945

#### Carrying Amount

At 31 March 2017

At 31 March 2016

#### Asset financing

Owned

Finance leased

On B/S (SoFP) PFI and other service concession arrangements contracts

#### Carrying Amount

At 31 March 2017

15,080	242,759	-	-	-	-	-	-	-	257,839
-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-
15,080	242,759	-	-	-	-	-	-	-	257,839

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:

	2017	2016
	£	£
Donations	-	-
Government Grant	-	-
Lottery Funding	-	-

## Northern Ireland Social Care Council Notes to the Accounts for the Year Ended 31 March 2017

### Note 6.2 Intangible assets - year ended 31 March 2016

	Software Licences	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 2015	47,759	506,257	-	-	-	-	-	-	554,016
Indexation	(290)	(2,898)	-	-	-	-	-	-	(3,188)
Additions	-	50,400	-	-	-	-	-	-	50,400
Donations / Government grant / Lottery Funding	-	-	-	-	-	-	-	-	-
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to revaluation reserve	-	-	-	-	-	-	-	-	-
Disposals	-	-	-	-	-	-	-	-	-
At 31 March 2016	47,469	553,759	-	-	-	-	-	-	601,228
<b>Amortisation</b>									
At 1 April 2015	19,786	154,840	-	-	-	-	-	-	174,626
Indexation	(155)	(1,441)	-	-	-	-	-	-	(1,596)
Reclassifications	-	-	-	-	-	-	-	-	-
Transfers	-	-	-	-	-	-	-	-	-
Revaluation	-	-	-	-	-	-	-	-	-
Impairment charged to the SoCNE	-	-	-	-	-	-	-	-	-
Impairment charged to the revaluation reserve	-	-	-	-	-	-	-	-	-
Disposals	6,794	78,459	-	-	-	-	-	-	85,253
Provided during the year	-	-	-	-	-	-	-	-	-
At 31 March 2016	26,425	231,858	-	-	-	-	-	-	258,283

## Northern Ireland Social Care Council Notes to the Accounts for the Year Ended 31 March 2017

### Note 6.2 Intangible Assets - Year Ended 31 March 2016

Software Licences	Information Technology	Websites	Development Expenditure	Licences, Trademarks & Artistic Originals	Patents	Goodwill	Payments on Account & Assets Under Construction	Total
£	£	£	£	£	£	£	£	£
21,044	321,901	-	-	-	-	-	-	342,945
27,973	351,417	-	-	-	-	-	-	379,390

#### Carrying Amount

At 31 March 2016

At 1 April 2015

#### Asset financing

Owned

Finance leased

On B/S (SoFP) PFI and other service concession arrangements contracts

#### Carrying Amount

At 31 March 2016

21,044	321,901	-	-	-	-	-	-	342,945
-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-
21,044	321,901	-	-	-	-	-	-	342,945

#### Asset financing

Owned

Finance leased

On B/S (SoFP) PFI and other service concession arrangements contracts

#### Carrying Amount

At 31 March 2015

27,973	351,417	-	-	-	-	-	-	379,390
-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-
27,973	351,417	-	-	-	-	-	-	379,390

## Northern Ireland Social Care Council

### Notes to the Accounts for the Year Ended 31 March 2017

#### Note 7 Financial Instruments

As the cash requirements of NDPB 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 2016.

	2017			
	Property, plant & equipment £	Intangibles £	Financial assets £	Total £
Total value of impairments for the period	1,390	-	-	1,390
Impairments which revaluation reserve covers (shown in Other Comprehensive Expenditure Statement)	-	-	-	-
<b>Impairments charged / (credited) to Statement of Comprehensive Net Expenditure</b>	<b>1,390</b>	<b>-</b>	<b>-</b>	<b>1,390</b>

#### Note 9 Assets Classified as Held for Sale

The NISCC did not hold any assets classified as held for sale at either 31 March 2017 or 31 March 2016.

#### Note 10 Inventories

The NISCC did not hold any goods for resale at either 31 March 2017 or 31 March 2016.

## Northern Ireland Social Care Council

### Notes to the Accounts for the Year Ended 31 March 2017

#### Note 11 Cash and Cash Equivalents

	2017	2016
	£	£
Balance at 1st April	36,717	33,595
Net change in cash and cash equivalents	25,722	3,122
<b>Balance at 31st March</b>	<b>62,439</b>	<b>36,717</b>

	2017	2016
	£	£
<b>The following balances at 31 March were held at</b>		
Commercial Banks and cash in hand	62,439	36,717
<b>Balance at 31st March</b>	<b>62,439</b>	<b>36,717</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 2017

#### Note 12 Trade Receivables, Financial and Other Assets

	2017 £	2016 £
<b>Amounts falling due within one year</b>		
Trade receivables	1,676	8,506
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>56,404</u>	<u>8,506</u>
Prepayments and accrued income	42,382	24,501
Current part of PFI and other service concession arrangements pre-payment	-	-
<b>Other current assets</b>	<u>42,382</u>	<u>24,501</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>56,404</u></u>	<u><u>8,506</u></u>
<b>TOTAL OTHER CURRENT ASSETS</b>	<u><u>42,382</u></u>	<u><u>24,501</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>98,786</u></u>	<u><u>33,007</u></u>



## Northern Ireland Social Care Council

### Notes to the Accounts for the Year Ended 31 March 2017

#### Note 13 Trade Payables and Other Current Liabilities

	2017 £	2016 £
<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	19,031	20,534
Payroll payables	-	-
Clinical Negligence payables	-	-
RPA payables	-	-
BSO payables	263	52,677
Other payables	593	1,712
Accruals and deferred income	570,725	475,549
Accruals and deferred income – relating to property, plant and equipment	16,652	24,905
Accruals and deferred income – relating to intangibles	-	50,400
<b>Trade and other payables</b>	<b>607,264</b>	<b>625,777</b>
Current part of finance leases	-	-
Current part of long term loans	-	-
Current part of imputed finance lease element of on balance sheet (SoFP) PFI and other service concession arrangements contracts	-	-
<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>607,264</b>	<b>625,777</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	-	-
Imputed finance lease element of on balance sheet (SoFP) PFI and other service concession arrangements contracts	-	-
Long term loans	-	-
<b>Total non current other payables</b>	<b>-</b>	<b>-</b>
<b>TOTAL TRADE PAYABLES AND OTHER CURRENT LIABILITIES</b>	<b>607,264</b>	<b>625,777</b>

**Northern Ireland Social Care Council**  
**Notes to the Accounts for the Year Ended 31 March 2017**

**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>2017 Number</b>	<b>2017 Value</b>	<b>2016 Number</b>	<b>2016 Value</b>
Total bills paid	1,297	2,405,946	1,416	2,438,579
Total bills paid within 30 day target	1,271	2,380,046	1,364	2,292,748
<b>% of bills paid within 30 day target</b>	<b>98%</b>	<b>99%</b>	<b>96%</b>	<b>94%</b>
Total bills paid within 10 day target	1,157	2,185,816	1,262	2,107,248
<b>% of bills paid within 10 day target</b>	<b>89%</b>	<b>91%</b>	<b>89%</b>	<b>86%</b>

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

The amount included within Interest Payable arising from claims made by small businesses under this legislation are as follows :

	<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 2017

#### Note 15 Provisions for Liabilities and Charges

The NISCC had no provisions for liabilities and charges at either 31 March 2017 or 31 March 2016.

#### Note 16 Capital Commitments

The NISCC had no capital commitments at either 31 March 2017 or 31 March 2016.

#### Note 17 Commitments Under Leases

##### Note 17.1 Operating Leases

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

	2017 £	2016 £
<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	-	-
	<u>-</u>	<u>-</u>
<b>Buildings</b>		
Not later than 1 year	261,780	72,215
Later than 1 year and not later than 5 years	894,415	-
Later than 5 years	-	-
	<u>1,156,195</u>	<u>72,215</u>
<b>Other</b>		
Not later than 1 year	-	-
Later than 1 year and not later than 5 years	-	-
Later than 5 years	-	-
	<u>-</u>	<u>-</u>

##### Note 17.2 Finance Leases

The NISCC had no finance leases at either 31 March 2017 or 31 March 2016.

##### Note 17.3 Operating Leases

The NISCC did not issue any operating leases at either 31 March 2017 or 31 March 2016.

---

## Northern Ireland Social Care Council

### Notes to the Accounts for the Year Ended 31 March 2017

#### **Note 18 Commitments Under PFI and Other Service Concession Arrangement Contracts**

##### **Note 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 2017 or 31 March 2016.

##### **Note 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 2017 or 31 March 2016.

#### **Note 19 Other Financial Commitments**

The NISCC did not have any other financial commitments at 31 March 2017 or 31 March 2016.

#### **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 2017 or 31 March 2016.

#### **Note 21 Contingent Liabilities**

The NISCC did not have any quantifiable contingent liabilities at 31 March 2017 or 31 March 2016.

#### **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.

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 2017 or 31 March 2016 belonging to third parties.

## Northern Ireland Social Care Council

### Notes to the Accounts for the Year Ended 31 March 2017

#### Note 24 Financial Performance Targets

##### Note 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>2017</b>	<b>2016</b>
	<b>Total</b>	<b>Total</b>
	<b>£</b>	<b>£</b>
DoH (excludes non cash)	2,612,724	3,043,269
Other Government Department (HSCB)	-	-
Non cash RRL (from DHSSPS)	132,747	118,465
<b>Total agreed RRL</b>	<b>2,745,471</b>	<b>3,161,734</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>2,745,471</b>	<b>3,161,734</b>

##### Note 24.2 RCapital Resource Limit

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

	<b>2017</b>	<b>2016</b>
	<b>£</b>	<b>£</b>
Gross capital expenditure by NISCC	16,652	80,923
(Receipts from sales of fixed assets)	-	-
Net capital expenditure	16,652	80,923
Capital Resource Limit	16,652	81,398
Overspend/(Underspend) against CRL	-	(475)

**Northern Ireland Social Care Council**  
**Notes to the Accounts for the Year Ended 31 March 2017**

**Note 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</b>	<b>2016</b>
	£	£
Net Expenditure	(2,734,281)	(3,155,688)
RRL	2,745,471	3,161,734
Surplus/(Deficit) against RRL	11,190	6,046
Break Even cumulative position (opening)	110,409	104,363
Break Even Cumulative position (closing)	<u>121,599</u>	<u>110,409</u>

**Materiality Test:**

	<b>2016-17</b>	<b>2015-16</b>
	%	%
Break Even in year position as % of RRL	<u>0.41%</u>	<u>0.19%</u>
Break Even cumulative position as % of RRL	<u>4.43%</u>	<u>3.49%</u>

**Note 25 Post Balance Sheet Events**

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 6th July 2017

# Certificate and Report of the Comptroller and Auditor General

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

I certify that I have audited the financial statements of the Northern Ireland Social Care Council for the year ended 31 March 2017 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 Remuneration and Staff Report and the Assembly Accountability disclosures that are described in those reports as having been audited.

### Respective responsibilities of the Accounting Officer and auditor

As explained more fully in the Statement of Accounting Officer's Responsibilities, the Accounting Officer is responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. 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 conducted my audit in accordance with International Standards on Auditing (UK and Ireland). Those standards require me and my staff to comply with the Auditing Practices Board's Ethical Standards for Auditors.

### Scope of the audit of the financial statements

An audit involves obtaining 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. This includes an assessment of: whether the accounting policies are appropriate to the Northern Ireland Social Care Council's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Northern Ireland Social Care Council and the overall presentation of the financial statements. In addition I read all the financial and non-financial information in the Annual Report to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my certificate.

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.

### 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.



## Opinion on financial statements

In my opinion:

- the financial statements give a true and fair view of the state of Northern Ireland Social Care Council's affairs as at 31 March 2017 and of the net expenditure for the year then ended; and
- the financial statements 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 other matters

In my opinion:

- the parts of the Remuneration and Staff Report and the Assembly Accountability disclosures 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.

## 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 Remuneration and Staff Report and the Assembly Accountability disclosures 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 Department of Finance's guidance.

## Report

I have no observations to make on these financial statements.

The maintenance and integrity of the NISCC's website is the responsibility of the Accounting Officer. The work carried out by the auditors does not involve consideration of these matters and, accordingly, the auditors accept no responsibility for any changes which may have occurred to the financial statements since they were originally presented on the website.

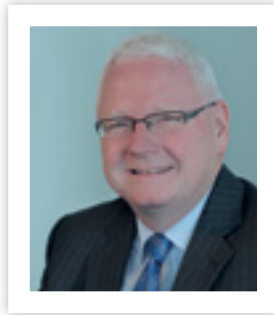


*KJ Donnelly*  
*Comptroller and Auditor General*  
*Northern Ireland Audit Office*  
*106 University Street*  
*Belfast*  
*BT7 1EU*

*18 August 2017*

# Appendix 1:

## Council Members 2016-17



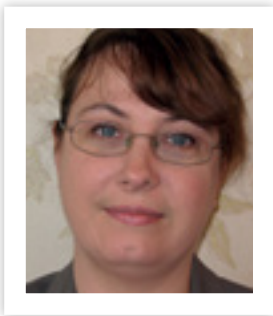
Chair, James Perry



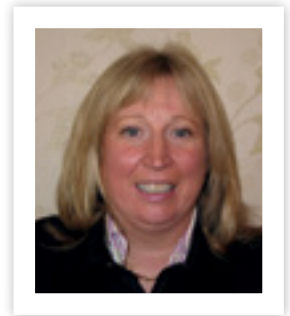
Joe Blake



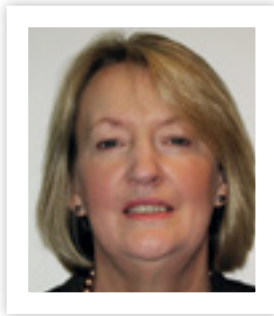
Neil Bodger



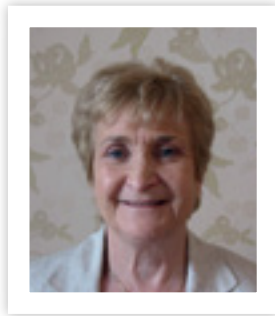
Geraldine Campbell



Julie Erskine



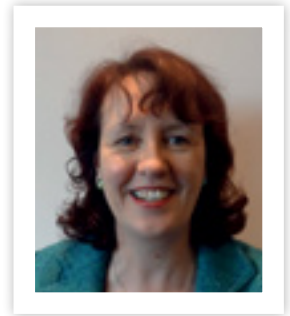
Ruth Lavery



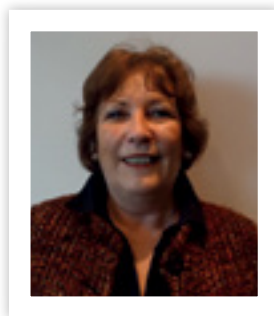
Marie McMahon



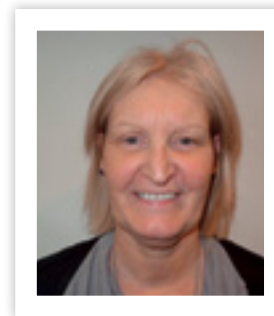
Trevor Spratt



Brenda Maitland



Catherine McPhillips

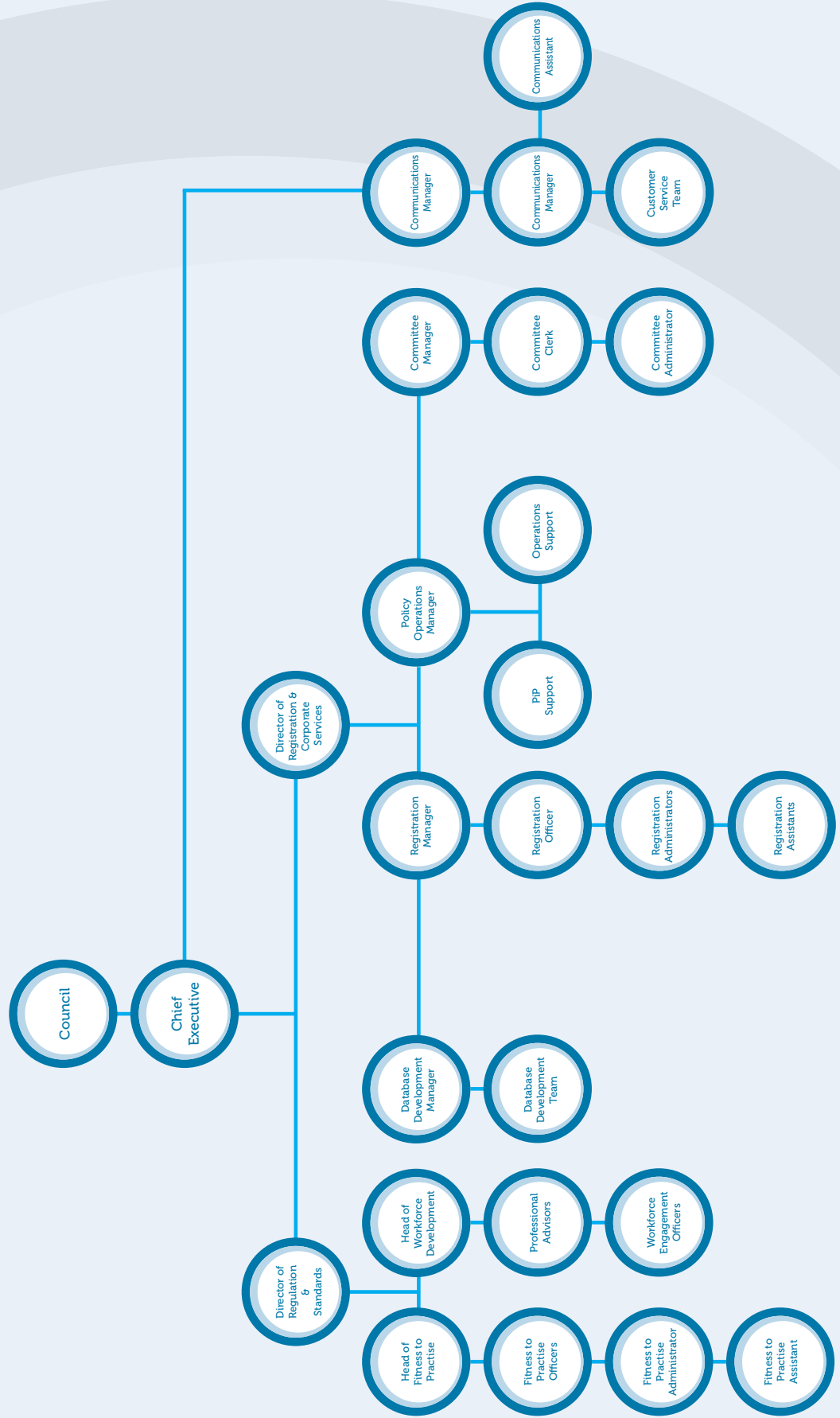


Anne O'Reilly



Lee Wilson

# Appendix 2: NSCC Organisational Chart



## Appendix 3:

# Glossary of Terms & Abbreviations

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

# Notes:

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....



# Notes:

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....









Northern Ireland Social Care Council  
7th 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)



© NISCC copyright 2017

