

Qualification Unit

This unit forms part of a regulated qualification.

Unit Title: Risk Management and Business Continuity Planning

Unit Reference Number: M/652/0867

Level: Five (5)

Credit Value: Nine (9)

Minimum Guided Learning Hours: 45

| Learning Outcome (The Learner will): | Assessment Criterion (The Learner can): |
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| 1. Understand organisational risk | 1.1 Analyse strategic, operational and emerging risks |
| 2. Be able to lead risk management | 2.1 Analyse the effectiveness of risk assessment and mitigation systems they have implemented |
| | 2.2 Describe how to escalate risks appropriately |
| | 2.3 Analyse own role in leading risk management across the organisation |
| 3. Be able to lead business continuity planning | 3.1 Assess the effectiveness of existing control measures for maintaining business continuity for a range of different scenarios |
| | 3.2 Produce a plan for testing and reviewing business continuity arrangements |

| Indicative Content | |
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| LO1 | <p>AC1.1</p> <ul style="list-style-type: none"> Definitions and categories of organisational risk in adult social care Strategic risks, including commissioning arrangements, market sustainability, reputation and regulatory change Operational risks, including care delivery, staffing levels, skills and competency, premises and resources Supply-chain risks affecting continuity of care, including workforce availability, PPE, equipment and medicines Emerging risks, including digital and cyber risks, environmental and climate-related risks, and system-wide pressures |

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| | <ul style="list-style-type: none"> • Impact of unmanaged risk on quality of care, safety, outcomes and regulatory compliance • Leadership responsibility for horizon scanning, risk identification and prioritisation |
| LO2 | <p>AC2.1</p> <ul style="list-style-type: none"> • Risk assessment methodologies and tools used in adult social care • Use of risk registers, scoring systems and prioritisation frameworks • Designing and implementing proportionate mitigation and control measures • Balancing risk enablement, independence and safety • Monitoring, reviewing and updating risk controls • Evaluating effectiveness of risk management systems using incidents, audits and performance data • Leadership accountability for ensuring risk systems remain effective and embedded <p>AC2.2</p> <ul style="list-style-type: none"> • Risk escalation thresholds and triggers • Governance, reporting and accountability structures • Internal escalation routes to senior leaders and boards • External escalation to regulators and commissioners where required • Links between risk escalation, safeguarding and duty of candour • Communicating risks clearly, accurately and in a timely manner • Importance of early escalation to prevent harm and service failure <p>AC2.3</p> <ul style="list-style-type: none"> • Leadership accountability and oversight for organisational risk • Promoting a positive, risk-aware culture • Supporting staff to recognise, manage and report risks • Embedding risk management into everyday practice and decision-making • Balancing innovation, enablement and safety • Reflective evaluation of own leadership behaviours and impact on risk management |
| LO3 | <p>AC3.1</p> <ul style="list-style-type: none"> • Principles and purpose of business continuity planning in adult social care • Identifying critical services and functions • Control measures to maintain continuity during disruption • Planning for a range of scenarios, including workforce shortages, digital failure, environmental incidents and public health emergencies • Alignment between risk management and business continuity arrangements • Evaluating effectiveness of existing control measures through incidents, near misses and reviews <p>AC3.2</p> <ul style="list-style-type: none"> • Methods for testing business continuity plans, including desktop exercises and live simulations • Roles and responsibilities during testing and activation of plans • Capturing learning from tests, incidents and exercises • Reviewing and updating continuity arrangements based on learning • Governance and assurance cycles for business continuity planning |

- Leadership responsibility for ensuring resilience and preparedness

Assessment Requirements

This unit must be assessed in line with Open Awards' assessment requirements and Skills for Care & Development assessment principles. Assessment must be work-based and grounded in the learner's real work practice within an adult social care setting.

Learners must generate evidence that demonstrates full achievement of all learning outcomes and associated assessment criteria for each unit.

AC2.1 - Evidence should include implemented risk register entries, mitigation actions and review outcomes.

AC3.2 – Evidence must demonstrate testing and reviewing business continuity plans through exercises and learning reviews.

While some knowledge evidence may be generated outside of the workplace, final assessment decisions must confirm that knowledge and understanding have been applied effectively in the real work environment, in line with Skills for Care expectations.

Assessment evidence may include a range of methods, selected to ensure validity and reliability, including but not limited to:

- Direct observation of practice in the workplace
- Reflective accounts demonstrating application of learning to practice
- Professional discussion to explore understanding, reasoning and decision-making
- Work-based documentation relevant to the learner's role (e.g. policies, procedures, plans, audits, reports)
- Witness testimony from managers, colleagues or relevant professionals
- Feedback from individuals, staff or partner organisations, where appropriate.

Where learning outcomes require demonstration of competence, direct observation of practice should form the primary source of evidence. Observation should normally take place in person in the learner's work setting.

All assessment evidence must be valid, authentic, current, sufficient and reliable, and clearly attributable to the learner. Assessors must ensure that evidence is fit for purpose, reflects the learner's role and level of responsibility, and demonstrates both knowledge and effective practice, where required.

Evidence must be clearly attributable to the learner and reflect their role, responsibilities and level of autonomy within the adult social care setting.

Confidential, sensitive or personal information must not be included in learner portfolios. Such evidence may be referenced, anonymised or summarised in line with organisational policies, data protection legislation and Open Awards requirements.

Assessment decisions must be made by an appropriately qualified assessor and are subject to internal and external quality assurance in accordance with Open Awards policies and procedures and Skills for Care expectations.