

RATINGS KEY	
VERY HIGH	
HIGH	
MEDIUM	
LOW	

Strategic Risk Register Number	Strategic Risk Description	Corporate Outcome	Lead Director/mgrs	Likelihood Raw	Impact Raw	Raw Risk	Grade	Likelihood Residual	Impact Residual	Residual Risk	Grade	TOLERANCE	Control Measures
1	The Care Inspectorate does not have the credibility and capacity to deliver organisational objectives.	1, 2, 3, 4, 5	DoI	4	5	20	HIGH	2	2	4	LOW	LOW	<ul style="list-style-type: none"> Organisational development plan in place. Performance review system in place. Workforce plan in place. Performance monitoring and management arrangements in place. Clear objectives set and monitored. Training and development given high priority. Partnership Forum in place.
2	The Care Inspectorate's partners are not able to support its methodology and deliver on objectives	1, 2, 4, 6	DoSD	4	5	20	HIGH	2	4	8	MEDIUM	MEDIUM	<ul style="list-style-type: none"> MoUs and information sharing protocols Partners involved in new scrutiny methodology development – programme management level, practitioner advisory groups; joint staff development days Chair sits on partner scrutiny bodies board – HIS and SSSC Joint executive team meetings – HIS, SSSC Strategic group meetings – Education Scotland, HMICS Joint consultation and stakeholder events Joint Board events Chief Executive sits on strategic scrutiny group National Scrutiny Plan agreed between all partners Aligned corporate and financial objectives Cross Government policy liaison and sponsor branch relationships
3	Changes in the political environment lead to a failure in the ability of the Inspectorate to deliver its corporate objectives	1, 2, 3	CE	4	5	20	HIGH	2	4	8	MEDIUM	MEDIUM	<ul style="list-style-type: none"> Participation in all relevant strategic policy and operational groups to influence national policy development Corporate and inspection plans developed to reflect policy interests; co-ordinated with other scrutiny partners; and, signed off by Ministers National scrutiny planning MP/MSPI cross policy/parliamentary briefings CI Board strategic development / briefing events Attendance /speaking at / hosting conferences Consultation responses and advice Allocation of development time within annual planning to access specialist skills within workforce Horizon scanning
4	Unachievable expectations are placed on the Inspectorate from the Scottish Government or key stakeholders	1, 2, 3	CE	4	5	20	HIGH	3	4	12	MEDIUM	MEDIUM	<ul style="list-style-type: none"> Promotion of values internally/externally Responsibility of knowledge Developing person-centred inspection methodologies Making effective use of complaints Ensuring information/intelligence is shared and acted upon Public reporting Increasing use of user/carer voice Communicating complaints process/outcomes Quality assurance Effective enforcement
5	A serious failure or event happens which has an impact on the role or the ability of the Inspectorate to deliver its corporate objectives	6	DoCS	3	4	12	MEDIUM	2	3	6	LOW	LOW	<ul style="list-style-type: none"> KPIs GIs Risk Register Review BCP/Disaster Recovery Internal and external audit Intelligence and Risk Framework
6	The Board does not take ownership or understand its responsibilities in overseeing the strategic risks of the organisation	6	DoCS	3	4	12	MEDIUM	2	3	6	LOW	LOW	<ul style="list-style-type: none"> Code of Corporate Governance, incorporating: <ul style="list-style-type: none"> o Policies o Disclosure arrangements o Strategies and planning/performance management systems Regular review Board and committee annual review Annual review of committees reporting to the Board On-Board training for members Chair's performance appraisal of members' development programme Internal and external audit Risk Register review Standing items on committees
7	There is a lack of coherence in approach to improvement of services	1, 2, 3, 4, 5	DoSD	4	4	16	HIGH	2	4	8	MEDIUM	MEDIUM	<ul style="list-style-type: none"> National co-ordination of scrutiny and improvement activities via Strategic scrutiny group; JIT meetings; and, Improvement Service cluster approach to improvement Care Inspectorate signposting of good practice – Care News, website and the HUB Outcomes focussed inspection reports clearly identifying areas for improvement Memorandum of understandings identifying roles and responsibilities with scrutiny and improvement partners Quality conversation forums with providers to share good practice Internal learning and quality circles to share good practice in improvement Quality Improvement Strategy Link Inspector and contact manager liaison support
8	Engagement with service providers does not enhance an understanding of the role and remit of the Care Inspectorate	1, 2, 3, 4	DoSD	4	5	20	HIGH	3	4	12	MEDIUM	MEDIUM	<ul style="list-style-type: none"> Quality conversation forums with providers Revised complaints handling processes – about CI and about service providers Proactive media strategy highlighting good and poor practice Publications outlining roles and responsibilities National care standards (review) Care Inspectorate signposting of good practice – Care News, website and the HUB Outcomes focussed inspection reports and support to providers in improvement Consultation with service providers on changes to CI scrutiny or business activities Contact manager liaison support
9	Financial uncertainties from the spending review result in the Inspectorate being set unachievable objectives with insufficient resources	6	DoCS	4	4	16	HIGH	3	3	9	MEDIUM	MEDIUM	<ul style="list-style-type: none"> Liaison with Scottish Government Sponsor team Financial modelling Budget development/sign off process Resourcing strategies (flexible) in facilities, OD, Finance and Administration Centralised inspection planning and workload allocation Efficiency regime Best Value programme Benchmarking
10	The Care Inspectorate cannot effectively plan for medium and long-term outcomes due to the upcoming referendum and elections	1, 5, 6	DoSD	4	5	20	HIGH	2	4	8	MEDIUM	MEDIUM	<ul style="list-style-type: none"> Development of 2014-2018 Corporate Plan Revised Operational Improvement Plan 2014-18 Regular sponsor branch and ministerial meetings Internal audit on key business activities Quarterly corporate performance reporting Policy horizon scanning Executive representation on high level national policy groups
11	The scrutiny landscape will change and the Inspectorate will not be able to carry out its intended objectives	2, 4, 6	CE	3	4	12	MEDIUM	1	4	4	LOW	LOW	<ul style="list-style-type: none"> Key developments in scrutiny, inspection and regulation are tracked and influenced by relevant and senior staff in the Care Inspectorate. Influence, advice and intelligence are used to ensure that the future landscape for scrutiny in Scotland is fit for purpose. Senior staff and the Board ensure that we have influence in and early sight of any changes to scrutiny and that we are able to adapt to meet these changes. The strategy for communication and the strategy for quality improvement will ensure that the organisation is fit for changing purpose and has improved capacity for change.