

Strategic Risk No: 1

CORPORATE OUTCOME:	1, 2, 3, 4, 5
OWNER:	Director of Inspection

DESCRIPTION: What is the risk:	The Care Inspectorate does not have the credibility and capacity to deliver organisational objectives.
What are the possible consequences if the risk was to emerge:	The organisation lacks public confidence. Failure to meet statutory duties.

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	20

The RAW risk is therefore:	HIGH
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CONTROL MEASURES	
What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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.

NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 2	What is the predicted IMPACT of the risk?	(B) 2	(A x B) What is the TOTAL risk score?	4

The RESIDUAL risk is therefore:	LOW
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RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Performance targets not met
- Feedback arrangements in place from staff.

FURTHER ACTION REQUIRED

- None

RISK TOLERANCE

What is the tolerable level of risk?	LOW
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Strategic Risk No: 2

CORPORATE OUTCOME:	1, 2, 4, 6
OWNER:	Director of Strategic Development

DESCRIPTION: What is the risk:	The Care Inspectorate’s partners are not able to support its methodology and deliver on objectives
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> Care Inspectorate unable to meet its statutory requirements under Public Services Reform (Scotland) Act 2010 – s114 Duty of Co-operation; and joint inspection. Reputational risk – delivery partners are unable to fulfil their own and collective scrutiny plans.

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	20

The RAW risk is therefore:	HIGH
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CONTROL MEASURES	
What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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

NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 2	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	8
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The RESIDUAL risk is therefore:	MEDIUM
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RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Programme and project management – dynamic risk assessment approach
- Regular formal and informal partner feedback
- Avoidable duplication in National Scrutiny Plan
- Provider feedback indicates duplication in scrutiny approaches
- Lack of specialist resource availability to support joint / strategic inspection delivery
- Inspection satisfaction surveys
- Chief Officer feedback – community planning partners
- Independent evaluation report feedback indicates lack of joint methodology development

FURTHER ACTION REQUIRED

- Continue to ensure Chair/CE/ senior management representation on strategic groups / forums
- Independent analysis of methodology development

RISK TOLERANCE

What is the tolerable level of risk?	MEDIUM
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Strategic Risk No: 3

CORPORATE OUTCOME:	1, 2, 3
OWNER:	Chief Executive

DESCRIPTION: What is the risk:	Changes in the political environment lead to a failure in the ability of the Inspectorate to deliver its corporate objectives
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> • Care Inspectorate outcomes, objectives and business activities fail to meet national priorities • Failure to deliver fit for purpose scrutiny and improvement activities • Inability to deliver assurance and protection on quality of care for people who use services and their carers • Reputational risk – through loss of public and ministerial confidence

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	20

The RAW risk is therefore:	HIGH
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CONTROL MEASURES	
What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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/MSP/ 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

NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 2	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	8
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The RESIDUAL risk is therefore:	MEDIUM
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RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Feedback from sponsor branch / cross policy interest
- Refusal from Minister to sign off corporate / inspection plan
- Stakeholder surveys
- Feedback from people who user services and their carers – via lay assessors/inspectors ;Involved People group; care service questionnaires

FURTHER ACTION REQUIRED

- Stakeholder survey
- Development of more effective public engagement activities – forums, website
- Continue to develop sponsor and cross policy relationships
- Continue to strengthen involvement activities

RISK TOLERANCE

What is the tolerable level of risk?	MEDIUM
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Strategic Risk No: 4

CORPORATE OUTCOME:	1, 2, 3
OWNER:	Chief Executive

DESCRIPTION: What is the risk:	Unachievable expectations are placed on the Inspectorate from the Scottish Government or key stakeholders
What are the possible consequences if the risk was to emerge:	Loss of reputation and trust would make it difficult to ensure improvement and could lead to organisation being seen as un-useful.

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 4	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	20
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The **RAW** risk is therefore: **HIGH**

CONTROL MEASURES

What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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
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NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 3	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	12
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The **RESIDUAL** risk is therefore: **MEDIUM**

RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Complaints monitoring where complaint is upheld and refer to values/principles or where we have failed to protect vulnerable people where that was in our control.

FURTHER ACTION REQUIRED

- Ensuring public are aware of our purpose and powers to act.

RISK TOLERANCE

What is the tolerable level of risk?

MEDIUM

Strategic Risk No: 5

CORPORATE OUTCOME:	6
OWNER:	Director of Corporate Services

DESCRIPTION: What is the risk:	A serious failure or event happens which has an impact on the role or the ability of the Inspectorate to deliver its corporate objectives
What are the possible consequences if the risk was to emerge:	There is a significant impact on the ability of the Care Inspectorate to deliver its corporate objectives

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	12

The RAW risk is therefore:	MEDIUM
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CONTROL MEASURES	
What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<ul style="list-style-type: none"> • KPIs • QIs • Risk Register Review • BCP/Disaster Recovery • Internal and external audit • Intelligence and Risk Framework

NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 2	What is the predicted IMPACT of the risk?	(B) 3	(A x B) What is the TOTAL risk score?	6

The RESIDUAL risk is therefore:	LOW
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RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Monthly management information (KPIs)
- Regular environmental scanning by ET and Audit/Resources committees
- Scottish Government Sponsor liaison meetings
- Regular audit feedback

FURTHER ACTION REQUIRED

- Periodic refresh/training in BCP/disaster recovery
- Periodic review of ICT network resilience
- Testing of ICT network resilience and backup
- Targeted programme of internal audit to key business areas
- Rollout/review of revised PDRS and relevant staff training

RISK TOLERANCE

What is the tolerable level of risk?	LOW
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Strategic Risk No: 6

CORPORATE OUTCOME:	6
OWNER:	Director of Corporate Services

DESCRIPTION: What is the risk:	The Board does not take ownership or understand its responsibilities in overseeing the strategic risks of the organisation
What are the possible consequences if the risk was to emerge:	There is a failure in Corporate Governance with subsequent impact on outcomes for vulnerable people and/or the reputation of the Care Inspectorate with its stakeholders

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 3	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	12
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The **RAW** risk is therefore:

MEDIUM

CONTROL MEASURES

What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<ul style="list-style-type: none"> • Code of Corporate Governance, incorporating: <ul style="list-style-type: none"> ○ Policies ○ Disclosure arrangements ○ 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
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NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 2	What is the predicted IMPACT of the risk?	(B) 3	(A x B) What is the TOTAL risk score?	6
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The RESIDUAL risk is therefore:	LOW
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RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Quarterly ET monitoring/reporting to Committee

FURTHER ACTION REQUIRED

- Formal reporting of risk to be reviewed

RISK TOLERANCE

What is the tolerable level of risk?	LOW
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Strategic Risk No: 7

CORPORATE OUTCOME:	1, 2, 3, 4, 5
OWNER:	Director of Strategic Development

DESCRIPTION: What is the risk:	There is a lack of coherence in approach to improvement of services
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> • Care Inspectorate objectives and business activities fail to contribute to delivery of national priorities • Reputational risk – loss of public and ministerial confidence • People who use care services and their carers are unclear on the roles and responsibilities of each scrutiny and improvement body • People who use care services and their carers are unaware of their rights and the standards of care they are entitled to receive

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	16

The RAW risk is therefore:	HIGH
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CONTROL MEASURES	
What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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

NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 2	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	8
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The **RESIDUAL** risk is therefore: **MEDIUM**

RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Link inspector and contact manager feedback
- External provider and partner feedback
- Increase in complaints
- Requirements not being met
- Grading

FURTHER ACTION REQUIRED

- Stakeholder surveys
- Improved shared risk assessment processes
- Quality conversation established

RISK TOLERANCE

What is the tolerable level of risk? **MEDIUM**

Strategic Risk No: 8

CORPORATE OUTCOME:	1, 2, 3, 4
OWNER:	Director of Strategic Development

DESCRIPTION: What is the risk:	Engagement with service providers does not enhance an understanding of the role and remit of the Care Inspectorate
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> • Care Inspectorate objectives and business activities fail to contribute to delivery of national priorities • Reputational risk – loss of public and ministerial confidence • Providers are not clear on the roles and responsibilities of the Care Inspectorate • People who use care services and their carers are unclear of the roles and responsibilities of service providers and the Care Inspectorate and their rights to high quality, safe and compassionate care

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 4	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	20
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The **RAW** risk is therefore:

HIGH

CONTROL MEASURES

What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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
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NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 3	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	12
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The **RESIDUAL** risk is therefore: **MEDIUM**

RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Increase in complaints against CI and providers
- Increase in ministerial correspondence querying CI actions
- Contact manager feedback
- External provider and partner feedback
- Requirements not being met
- Grading

FURTHER ACTION REQUIRED

- Quality conversations established
- Stakeholder surveys
- Contact manager intelligence captured and shared

RISK TOLERANCE

What is the tolerable level of risk? **MEDIUM**

Strategic Risk No: 9

CORPORATE OUTCOME:	6
OWNER:	Director of Corporate Services

DESCRIPTION: What is the risk:	Financial uncertainties from the spending review result in the Inspectorate being set unachievable objectives with insufficient resources
What are the possible consequences if the risk was to emerge:	The Care Inspectorate could be set unachievable objectives with insufficient resources

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 4	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	16

The RAW risk is therefore:	HIGH
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CONTROL MEASURES	
What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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

NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 3	What is the predicted IMPACT of the risk?	(B) 3	(A x B) What is the TOTAL risk score?	9

The RESIDUAL risk is therefore:	MEDIUM
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RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Budget model/operational; plan reconciliation
- KPI monitoring
- Budget monitoring

FURTHER ACTION REQUIRED

- Develop Pulse reports → improve workforce planning capacity

RISK TOLERANCE

What is the tolerable level of risk?	MEDIUM
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Strategic Risk No: 10

CORPORATE OUTCOME:	1, 5, 6
OWNER:	Director of Strategic Development

DESCRIPTION: What is the risk:	The Care Inspectorate cannot effectively plan for medium and long-term outcomes due to the upcoming referendum and elections
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> Care Inspectorate objectives and business activities fail to contribute to delivery of national priorities Reputational risk – loss of public and ministerial confidence

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 4	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	20
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The **RAW** risk is therefore:

HIGH

CONTROL MEASURES

What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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
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NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 2	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	8
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The **RESIDUAL** risk is therefore:

MEDIUM

RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Increase in ministerial correspondence
- Stakeholder feedback
- Internal audit reports indicating serious risk to business processes

FURTHER ACTION REQUIRED

- Maintain regular dialogue with sponsor branch and Cabinet secretary
- Stakeholder surveys
- Continue high level horizon scanning

RISK TOLERANCE

What is the tolerable level of risk?	MEDIUM
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Strategic Risk No: 11

CORPORATE OUTCOME:	2, 4, 6
OWNER:	Chief Executive

DESCRIPTION: What is the risk:	The scrutiny landscape will change and the Inspectorate will not be able to carry out its intended objectives
What are the possible consequences if the risk was to emerge:	The organisation could fail to meet its statutory duties or be seen as failing in its purpose leading to a lack of public confidence.

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 3	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	12
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The **RAW** risk is therefore: **MEDIUM**

CONTROL MEASURES

What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?	<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.
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NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)

What is the predicted LIKELIHOOD of the risk occurring?	(A) 1	What is the predicted IMPACT of the risk?	(B) 4	(A x B) What is the TOTAL risk score?	4
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The RESIDUAL risk is therefore:	LOW
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RISK INDICATORS

What risk indicators are/could be used to monitor risk (ie what are the triggers for taking action)

- Unexpected changes in legislation
- Unexpected Ministerial announcements
- Inability to find resources or capacity to manage change

FURTHER ACTION REQUIRED

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RISK TOLERANCE

What is the tolerable level of risk?	LOW
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