

Strategic Risk No: 1

CORPORATE OUTCOME:	1, 2, 3, 4, 5
OWNER:	Chief Executive

DESCRIPTION: What is the risk:	The Care Inspectorate does not have the credibility to deliver its organisational objectives.
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> • Lack of public and political confidence in the independent regulator • Inability to provide the desired level of public protection

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

What is the predicted LIKELIHOOD of the risk occurring?	(A) 5	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	25
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The **RAW** risk is therefore:

Very 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"> • Corporate Plan in place • Inspection Plan in place • Performance Monitoring Regime in place • Quality Assurance monitoring and management arrangements in place • Increasing involvement of user / carers to inform policy and practice: new Involvement Strategy in place • Regular sponsor/ SG/ Ministerial meetings • New ways of collaborative working with scrutiny partners; delivery partners; providers and umbrella groups • Public reporting strategy in place
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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) 2	(A x B) What is the TOTAL risk score?	4
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The **RESIDUAL** risk is therefore:

Low

RISK INDICATORS

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

- Consultation with key stakeholders
- Performance reports
- Media reporting
- Contact manager and link inspector liaison

FURTHER ACTION REQUIRED

- Monitor risk indicators

Strategic Risk No: 2

CORPORATE OUTCOME:	1, 2, 3, 4, 5
OWNER:	Chief Executive

DESCRIPTION: What is the risk:	The Care Inspectorate does not have the capacity to deliver its organisational objectives.
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> • Inability to deliver scrutiny and inspection plan • Loss of credibility and confidence to deliver public protection and assurance

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 5	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	25

The RAW risk is therefore:	Very 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 • Staff Performance review system in place • Workforce plan in place • Performance monitoring and management arrangements in place • Directorate planning underway • Programme Board in place to monitor and execute governance of change programmes • Clear objectives set and monitored • Learning and development investment for all staff • Partnership Forum operating collaboratively and effectively • Effective change management regime • Organisational transformation plan underway • Ongoing discussion with Scottish Government regarding resource allocation • Scrutiny and improvement plan

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
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The **RESIDUAL** risk is therefore: **Low**

RISK INDICATORS

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

- Monthly/quarterly performance reports
- Consultation with key stakeholders
- Workforce planning
- Budget monitoring

FURTHER ACTION REQUIRED

- Monitor risk indicators

Strategic Risk No: 3

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

DESCRIPTION: What is the risk:	The Care Inspectorate's partnership/collaborative working is not able to support its methodology with a resulting impact on delivering objectives
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> • Inability to provide the desired level of public protection and assurance in regulated care services, or to support improvement where necessary • Inability to deliver high-quality, timely product in relation to our strategic scrutiny • Inefficient exercise of our functions, without the due regard for the duty of co-operation

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 5	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	25

The RAW risk is therefore:	Very 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 – practitioner advisory groups, joint staff development days • Chair sits on partner scrutiny bodies board – HIS and SSSC • Joint Exec Team meetings – HIS and SSSC • Strategic Group meetings – Education Scotland, HMICS • Joint consultation and stakeholder events • Joint Board events • Chief Exec 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 • Quality conversation forums with providers

	<ul style="list-style-type: none"> • Collaborative approach to the Review of National Care Standards • Consultation with service providers on changes to CI scrutiny or business activities • Contact manager and Link inspector 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) 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)

- Delays in the planning or publication of strategic inspection reports
- Delays in the development of the new national care standards
- Lack of clarity amongst service providers and people using services about methodology
- Failure to implement the scrutiny and improvement plan

FURTHER ACTION REQUIRED

- Monitor risk indicators

Strategic Risk No: 4

CORPORATE OUTCOME:	6
OWNER:	Director of Corporate Services

DESCRIPTION: What is the risk:	The Care Inspectorate does not have the resources to support its Corporate Plan with a resulting impact on delivering objectives
What are the possible consequences if the risk was to emerge:	<p>The corporate plan covers a three year period but Care Inspectorate funding is agreed on an annual basis. Where annual settlements are lower than assumed when the Corporate Plan was agreed then re-prioritisation of strategic objectives will be necessary. Separate to funding issues, approximately 75% of the Care inspectorate budget is for employing staff and as an organisation highly dependent on staff to achieve objectives we may have resource issues as a result of an inability to recruit or retain staff or manage staff absence. In addition, we have activity such as registration and complaints where we have to respond to demand. If demand for this type of activity is greater than anticipated then this will lead to resource prioritisation issues.</p> <p>If we have insufficient resources we are unlikely to be in a position to undertake the full range of scrutiny and improvement activity we believe is necessary to provide protection and assurance for people who use care services and their carers.</p>

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 5	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	25

The RAW risk is therefore:	Very High
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CONTROL MEASURES	
<p>What controls/ procedures are in place/ needed to reduce the likelihood and impact of the risk to a more acceptable level?</p>	<p>In place:</p> <ul style="list-style-type: none"> • Liaison with SG Sponsor Team • Financial modelling • Budget Development / sign off process • Flexible resourcing strategies in support services • Centralised oversight of inspection planning and workload allocation • Best Value programme • Benchmarking • Performance Management Framework • Programme management approach to change <p>Needed:</p> <ul style="list-style-type: none"> • Flexible levels of activity incorporated into the annual Scrutiny and Improvement Plan • Directorate, Department and Team plans clearly linked to corporate plan with progress against plans regularly monitored. Risk management embedded at all planning levels.

NUMERICAL SCORING OF RESIDUAL RISK (ie WITH CONTROLS IN PLACE)					
<p>What is the predicted LIKELIHOOD of the risk occurring?</p>	<p>(A)</p> <p>2</p>	<p>What is the predicted IMPACT of the risk?</p>	<p>(B)</p> <p>4</p>	<p>(A x B) What is the TOTAL risk score?</p>	<p>8</p>

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)

- UK and Scottish Government budget announcements
- Scottish Government budget briefings
- Budget monitoring reports showing overspend
- Budget monitoring reports showing high levels of staff slippage
- Inability to achieve a range of performance targets
- High absence rates
- High staff turnover
- Greater than anticipated demand led activity such as new registrations and complaints investigation

FURTHER ACTION REQUIRED

- Monitor risk areas and undertake analysis where appropriate
- Scenario planning
- Further develop workforce management strategy

Strategic Risk No: 5

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

DESCRIPTION: What is the risk:	Changes in the political environment lead to a failure in the ability of the Care Inspectorate to deliver its objectives
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> • Inability to provide the required levels of public protection and assurance, or to support improvement • Inability to secure public resources necessary to discharge statutory functions, even during a time of austerity • Lack of public or government confidence may inhibit ability to develop new, innovative approaches to scrutiny

NUMERICAL SCORING OF RAW RISK (ie WITHOUT CONTROLS IN PLACE)					
What is the predicted LIKELIHOOD of the risk occurring?	(A) 5	What is the predicted IMPACT of the risk?	(B) 5	(A x B) What is the TOTAL risk score?	25

The RAW risk is therefore:	Very 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 • Effective liaison with SG Sponsor Team • Corporate and scrutiny plans developed to reflect policy interests, coordinated 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 • Expert groups established to support and inform national policy development • Policy 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**

RISK INDICATORS

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

- Working relationships with policy colleagues are not effective or credible
- Parliamentary questions or statements about the Care Inspectorate which suggest a disjoint between our work and public policy
- Financial pressures begin to impact on ability to deliver the corporate plan

FURTHER ACTION REQUIRED

- Develop awareness raising plan around the Care Inspectorate's work by December 2015

Strategic Risk No: 6

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

DESCRIPTION: What is the risk:	The legislative/regulatory environment may inhibit innovation and detract from the need to focus on outcomes for vulnerable people
What are the possible consequences if the risk was to emerge:	<ul style="list-style-type: none"> • A failure to secure agreement on outcomes-focused national care standards, or a delay • Regulatory approaches are unable to respond to reflect more innovative, proportionate and improvement-led approaches • Services are unable to innovate effectively due to regulations not keeping pace, leading to (a) services which are not as responsive as they should be and (b) perceptions about the Care Inspectorate's responsiveness

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"> • Key developments in scrutiny, inspection and regulation are tracked and influenced by relevant 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 • Increasing involvement of service users and carers to inform legislative, policy and practice 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

	<ul style="list-style-type: none"> Restrictive legislation is flagged to Scottish Government legal advisors and the Care Inspectorate works with them to effect changes to such
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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) 3	(A x B) What is the TOTAL risk score?	9
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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)

- Services who are unable to provide innovate approaches due to restrictive legislation
- Legislation and regulations are not regularly reviewed and updated where necessary
- Services are unable to respond to the needs, preferences and aspirations of people using services.

FURTHER ACTION REQUIRED

- Monitor risk and accelerate discussion with Scottish Government legal advisers about registration categories in an integrated setting

Strategic Risk No: 7

CORPORATE OUTCOME:	1, 6
OWNER:	Director of Inspection

DESCRIPTION: What is the risk:	A serious internal failure in our quality assurance regime.
What are the possible consequences if the risk was to emerge:	A consequential reputational impact.

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"> • Quality Assurance Framework and appropriate monitoring and testing • Intelligence and Risk Framework • KPIs • QIs /MMs • Business Continuity/Disaster Recovery Planning • Internal and External Audit

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:	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)

FURTHER ACTION REQUIRED

Develop a Quality Assurance process and develop inspectors and admin staff as appropriate (see Appendix to QIS Update paper to ET/Policy Committee 2015)

This is an on-going area of work and forms a specific part of our Review of Scrutiny. Action already taken includes – changes to IRT used to generate inspection reports, and the creation of a new, shorter type of report for some inspections.

Supplementary inspection writing guidance has been issued with the aim to minimise typing errors and inaccuracies in grammar. The **Proportional Outcome Evaluation Tool** has been introduced to support staff decision making at inspection and make this more outcome focused. The methodology steering group is currently working with JIT and SSSC to develop a learning tool to support staff to write in an outcome focussed way. Some inspection and complaint teams have introduced peer review for report writing.

A more consistent/standardised approach to quality assurance in the Inspection Directorate. This will be achieved, in part, through the Directorate Plan as it is developed and implemented in 2015/16 and beyond.

Strategic Risk No: 8

CORPORATE OUTCOME:	6
OWNER:	Director of Corporate Services

DESCRIPTION: What is the risk:	The Board has gaps or inadequate coverage in its Corporate Governance arrangements
What are the possible consequences if the risk was to emerge:	Poor corporate governance is likely to lead to inefficiency, ineffectiveness, increased risk of corruption and a significant loss of stakeholder confidence in the Care Inspectorate.

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"> • Regular Review of the Code of Corporate Governance incorporating :policies, disclosure arrangements, strategies and planning/ performance management systems • Annual Review of Board and Committee effectiveness • On-Board induction training for Members • Chair’s performance appraisal of members • Development Programme • Internal and External Audit • Risk Register Review and embedding of risk management • Membership of CIPFA Better Governance Forum • Regular review of corporate governance developments in Audit Scotland quarterly technical bulletins

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**

RISK INDICATORS

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

- Policies not reviewed within timescales set
- Risk position not regularly reviewed
- Board and/or Committee meetings not quorate
- Actions from effectiveness sessions not implemented

FURTHER ACTION REQUIRED

- Monitor Risk Indicators
- Action Plan from next annual Corporate Governance Review Group