

RISK MATRIX ASSESSMENT TABLES

Appendix IV

Table 1: Risk Appetite Statement

Area	Statement	Appetite
Finance	The organisation must comply with the statutory duty to breakeven and therefore must be protected from adverse impact from risks which threaten its financial breakeven position.	Cautious
Compliance	The organisation must be averse to risks that could impact upon its compliance with law and regulation, but should be prepared to accept moderate risk in order to achieve its objectives in relation to raising the profile of the social work and social care workforce and sector leadership.	Cautious → Moderate
Safety	The organisation must be averse to risks that could threaten the safety of users, carers, registrants and staff while recognising that the organisation should be prepared to accept a more open approach to safety risk when pursuing objectives associated with development of the workforce, communication and engagement and sector leadership.	Cautious → Open
Service Delivery	Delivery of the organisations core statutory services must be protected, however having an open to hungry approach to risk will help deliver substantial benefits to service users, registrants, employers and the wider social work and social care sector.	Open → Hungry
Reputation	Damage to the organisations reputation can undermine stakeholder confidence however the organisation is prepared to accept a moderate to hungry impact on its reputation as delivery of objectives will provide significant longer term benefit.	Moderate → Hungry

Table 2: Risk Appetite Matrix

Strategic Theme	Financial	Compliance	Safety	Service Delivery	Reputational
	<i>(Impacts on the financial position and sustainability of the Social Care Council)</i>	<i>(Impacts on the Social Care Council's conformance with legal obligations and stat. duties and its compliance with regulatory requirements)</i>	<i>(Impacts on the safety and wellbeing of staff, registrants, service users, partners/stakeholders and the public)</i>	<i>(Impacts on the intended/expected delivery of the Social Care Council's services)</i>	<i>(Impacts on the Social Care Council's reputation amongst all or some of its stakeholders)</i>
1. To put standards at the heart of social work and social care practice and education and training, so as to support the delivery of effective social care services both now and in the future.	CAUTIOUS	CAUTIOUS	CAUTIOUS	OPEN	MODERATE
2. To ensure that regulation is robust, agile, valued and trusted in order to support good social work and social care practice.	CAUTIOUS	CAUTIOUS	CAUTIOUS	OPEN	MODERATE
3. To support the development of the social work and social care workforce in order that they are able to deliver safe, effective, value led care.	CAUTIOUS	MODERATE	MODERATE	OPEN	OPEN
4. To promote a systems leadership approach that contributes to capacity building that supports leadership at all levels.	CAUTIOUS	MODERATE	OPEN	HUNGRY	HUNGRY
5. To ensure there is effective and meaningful communication and engagement so as to improve the understanding of what the Social Care Council does and the value of the social work and social care workforce.	MODERATE	OPEN	OPEN	HUNGRY	HUNGRY

Table 3: HSC REGIONAL RISK MATRIX

	Impact (Consequence) Levels				
Likelihood Scoring Descriptors	Insignificant(1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	Medium	Medium	High	Extreme	Extreme
Likely (4)	Low	Medium	Medium	High	Extreme
Possible (3)	Low	Low	Medium	High	Extreme
Unlikely (2)	Low	Low	Medium	High	High
Rare (1)	Low	Low	Medium	High	High

Table 4: HSC Regional Domains and Impact Levels

DOMAIN	IMPACT (CONSEQUENCE) LEVELS [can be used for both actual and potential]				
	INSIGNIFICANT (1)	MINOR (2)	MODERATE (3)	MAJOR (4)	CATASTROPHIC (5)
PEOPLE <i>(Impact on the Health/Safety/Welfare of any person affected: e.g. Patient/Service User, Staff, Visitor, Contractor)</i>	<ul style="list-style-type: none"> Near miss, no injury or harm. 	<ul style="list-style-type: none"> Short-term injury/minor harm requiring first aid/medical treatment. Any patient safety incident that required extra observation or minor treatment e.g. first aid Non-permanent harm lasting less than one month Admission to hospital for observation or extended stay (1-4 days duration) Emotional distress (recovery expected within days or weeks). 	<ul style="list-style-type: none"> Semi-permanent harm/disability (physical/emotional injuries/trauma) (Recovery expected within one year). Admission/readmission to hospital or extended length of hospital stay/care provision (5-14 days). Any patient safety incident that resulted in a moderate increase in treatment e.g. surgery required 	<ul style="list-style-type: none"> Long-term permanent harm/disability (physical/emotional injuries/trauma). Increase in length of hospital stay/care provision by >14 days. 	<ul style="list-style-type: none"> Permanent harm/disability (physical/ emotional trauma) to more than one person. Incident leading to death.
QUALITY & PROFESSIONAL STANDARDS/ GUIDELINES <i>(Meeting quality/ professional standards/ statutory functions/ responsibilities and Audit Inspections)</i>	<ul style="list-style-type: none"> Minor non-compliance with internal standards, professional standards, policy or protocol. Audit / Inspection – small number of recommendations which focus on minor quality improvements issues. 	<ul style="list-style-type: none"> Single failure to meet internal professional standard or follow protocol. Audit/Inspection – recommendations can be addressed by low level management action. 	<ul style="list-style-type: none"> Repeated failure to meet internal professional standards or follow protocols. Audit / Inspection – challenging recommendations that can be addressed by action plan. 	<ul style="list-style-type: none"> Repeated failure to meet regional/ national standards. Repeated failure to meet professional standards or failure to meet statutory functions/ responsibilities. Audit / Inspection – Critical Report. 	<ul style="list-style-type: none"> Gross failure to meet external/national standards. Gross failure to meet professional standards or statutory functions/ responsibilities. Audit / Inspection – Severely Critical Report.
REPUTATION <i>(Adverse publicity, enquiries from public representatives/media Legal/Statutory Requirements)</i>	<ul style="list-style-type: none"> Local public/political concern. Local press < 1day coverage. Informal contact / Potential intervention by Enforcing Authority (e.g. HSENI/NIFRS). 	<ul style="list-style-type: none"> Local public/political concern. Extended local press < 7 day coverage with minor effect on public confidence. Advisory letter from enforcing authority/increased inspection by regulatory authority. 	<ul style="list-style-type: none"> Regional public/political concern. Regional/National press < 3 days coverage. Significant effect on public confidence. Improvement notice/failure to comply notice. 	<ul style="list-style-type: none"> MLA concern (Questions in Assembly). Regional / National Media interest >3 days < 7days. Public confidence in the organisation undermined. Criminal Prosecution. Prohibition Notice. Executive Officer dismissed. External Investigation or Independent Review (eg, Ombudsman). Major Public Enquiry. 	<ul style="list-style-type: none"> Full Public Enquiry/Critical PAC Hearing. Regional and National adverse media publicity > 7 days. Criminal prosecution – Corporate Manslaughter Act. Executive Officer fined or imprisoned. Judicial Review/Public Enquiry.
FINANCE, INFORMATION & ASSETS <i>(Protect assets of the organisation and avoid loss)</i>	<ul style="list-style-type: none"> Commissioning costs (£) <1m. Loss of assets due to damage to premises/property. Loss – £1K to £10K. Minor loss of non-personal information. 	<ul style="list-style-type: none"> Commissioning costs (£) 1m – 2m. Loss of assets due to minor damage to premises/ property. Loss – £10K to £100K. Loss of information. Impact to service immediately containable, medium financial loss 	<ul style="list-style-type: none"> Commissioning costs (£) 2m – 5m. Loss of assets due to moderate damage to premises/ property. Loss – £100K to £250K. Loss of or unauthorised access to sensitive / business critical information Impact on service contained with assistance, high financial loss 	<ul style="list-style-type: none"> Commissioning costs (£) 5m – 10m. Loss of assets due to major damage to premises/property. Loss – £250K to £2m. Loss of or corruption of sensitive / business critical information. Loss of ability to provide services, major financial loss 	<ul style="list-style-type: none"> Commissioning costs (£) > 10m. Loss of assets due to severe organisation wide damage to property/premises. Loss – > £2m. Permanent loss of or corruption of sensitive/business critical information. Collapse of service, huge financial loss
RESOURCES <i>(Service and Business interruption, problems with service provision, including staffing (number and</i>	<ul style="list-style-type: none"> Loss/ interruption < 8 hour resulting in insignificant damage or loss/impact on service. No impact on public health social care. 	<ul style="list-style-type: none"> Loss/interruption or access to systems denied 8 – 24 hours resulting in minor damage or loss/ impact on service. Short term impact on public health social care. 	<ul style="list-style-type: none"> Loss/ interruption 1-7 days resulting in moderate damage or loss/impact on service. Moderate impact on public health and social care. 	<ul style="list-style-type: none"> Loss/ interruption 8-31 days resulting in major damage or loss/impact on service. Major impact on public health and social care. 	<ul style="list-style-type: none"> Loss/ interruption >31 days resulting in catastrophic damage or loss/impact on service.

<i>competence), premises and equipment)</i>	<ul style="list-style-type: none"> • Insignificant unmet need. • Minimal disruption to routine activities of staff and organisation. 	<ul style="list-style-type: none"> • Minor unmet need. • Minor impact on staff, service delivery and organisation, rapidly absorbed. 	<ul style="list-style-type: none"> • Moderate unmet need. • Moderate impact on staff, service delivery and organisation absorbed with significant level of intervention. • Access to systems denied and incident expected to last more than 1 day. 	<ul style="list-style-type: none"> • Major unmet need. • Major impact on staff, service delivery and organisation - absorbed with some formal intervention with other organisations. 	<ul style="list-style-type: none"> • Catastrophic impact on public health and social care. • Catastrophic unmet need. • Catastrophic impact on staff, service delivery and organisation - absorbed with significant formal intervention with other organisations.
ENVIRONMENTAL <i>(Air, Land, Water, Waste management)</i>	<ul style="list-style-type: none"> • Nuisance release. 	<ul style="list-style-type: none"> • On site release contained by organisation. 	<ul style="list-style-type: none"> • Moderate on site release contained by organisation. • Moderate off site release contained by organisation. 	<ul style="list-style-type: none"> • Major release affecting minimal off-site area requiring external assistance (fire brigade, radiation, protection service etc). 	<ul style="list-style-type: none"> • Toxic release affecting off-site with detrimental effect requiring outside assistance.