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| **SECTION 1** | **HARM/CONSEQUENCE SCORING** |
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|  | **Consequence score (severity levels) and examples of descriptors**  |
| **Domains**  | **1 - Insignificant** | **2 - Minor** | **3 - Moderate** | **4 - Major** | **5 - Catastrophic** |
| **Impact on the safety of patients (physical/ psychological harm)**  | Minimal injury requiring no/minimal intervention or treatment.  | Minor injury or illness, requiring minor intervention Increase in length of hospital stay by 1-3 days  | Moderate injury requiring professional intervention Increase in length of hospital stay by 4-15 days An event which impacts on a small number of patients  | Major injury leading to long-term incapacity/ disability Increase in length of hospital stay by >15 days Mismanagement of patient care with long-term effects  | Incident causing death Multiple permanent injuries or irreversible health effects An event which impacts on a large number of patients  |
| **Impact on the safety of staff or public (physical/ psychological harm)** | No time off work | Requiring time off work for <7 days  | Requiring time off work for 7-14 days RIDDOR/agency reportable incident  | Requiring time off work for >14 days Major injury leading to long-term incapacity/ disability | Incident causing death Multiple permanent injuries or irreversible health effects |
| **Quality/ complaints/ audit** | Peripheral element of treatment or service suboptimal Informal complaint/ inquiry  | Overall treatment or service suboptimal Formal complaint (Stage 1) Local resolution Single failure to meet internal standards Minor implications for patient safety if unresolved Reduced performance rating if unresolved  | Treatment or service has significantly reduced effectiveness Formal complaint (stage 2) complaint - Local resolution (with potential to go to independent review) Repeated failure to meet internal standards Major patient safety implications if findings are not acted on  | Non-compliance with national standards with significant risk to patients if unresolved Multiple complaints/ independent review Low performance rating Critical report  | Unacceptable level or quality of treatment Gross failure of patient safety if findings not acted on Non-coronial Inquest/ ombudsman inquiry Gross failure to meet national standards  |
| **Human resources/ organisational development/ staffing/ competence**  | Short-term low staffing level that temporarily reduces service quality (< 1 day)  | Low staffing level that reduces the service quality  | Late delivery of key objective/ service due to lack of staff Unsafe staffing level or competence (>1 day) Low staff morale Poor staff attendance for mandatory/key training  | Uncertain delivery of key objective/service due to lack of staff Unsafe staffing level or competence (>5 days) Loss of key staff Very low staff morale Non-attendance to mandatory training /key training | Non-delivery of key objective/service due to lack of staff Ongoing unsafe staffing levels or competence Loss of several key staff Repeated non-attendance to mandatory training /key training  |
| **Statutory duty/ inspections**  | No or minimal impact or breach of guidance/ statutory duty  | Breach of statutory legislation Reduced performance rating if unresolved  | Single breach in statutory duty Challenging external recommendations/ improvement notice  | Enforcement action Multiple breaches in statutory duty Improvement notices Low performance rating Critical report  | Multiple breaches in statutory duty Prosecution Complete systems change required Zero performance rating Severely critical report  |
| **Reputation**  | Rumors Potential for public concern  | Local media coverage – short-term reduction in public confidence | Local media coverage –long-term reduction in public confidence  | National media coverage with <3 days service well below reasonable public expectation  | National media coverage with >3 days service well below reasonable public expectation. MP concerned (questions in the House)  |
| **Business objectives/ projects**  | Insignificant cost increase/ schedule slippage  | <5 per cent over project budget Schedule slippage  | 5–10 per cent over project budget Schedule slippage  | Non-compliance with national 10–25 per cent over project budget Schedule slippage Key objectives not met  | Key objectives not met Incident leading >25 per cent over project budget Schedule slippage  |
| **Finance including claims**  | Small loss Risk of claim remote  | Loss of 0.1–0.25 per cent of budget Claim less than £10,000  | Loss of 0.25–0.5 per cent of budget Claim(s) between £10,000 and £100,000  | Uncertain delivery of key objective/Loss of 0.5–1.0 per cent of budget Claim(s) between £100,000 and £1 millionPurchasers failing to pay on time  | Non-delivery of key objective/ Loss of >1 per cent of budget Loss of contract / payment by results Claim(s) >£1 million  |
| **Service/ business interruption** | Loss/interruption of >1 hour  | Loss/interruption of >8 hours | Loss/interruption of >1 day  | Loss/interruption of >1 week  | Permanent loss of service or facility  |
| **Environmental impact** | Minimal or no impact on the environment | Minor impact on environment | Moderate impact on environment | Major impact on environment | Catastrophic impact on environment |
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| **SECTION 2 LIKELIHOOD OF OCCURRENCE** |
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| **Likelihood** | **1 – Rare** | **2- Unlikely** | **3 - Possible** | **4 - Likely** | **5 - Almost certain** |
| **Frequency (general)** **How often might it/does it happen**  | This will probably never happen/recur  | Do not expect it to happen/recur but it is possible it may do so  | Might happen or recur occasionally  | Will probably happen/recur but it is not a persisting issue  | Will undoubtedly happen/recur, possibly frequently  |
| **Frequency (timeframe)**  | Not expected to occur for years  | Expected to occur at least annually  | Expected to occur at least monthly  | Expected to occur at least weekly | Expected to occur at least daily  |
| **Probability** **Will it happen or not**  | <0.1 per cent  | 0.1-1 per cent  | 1-10 per cent  | 10 – 50 per cent  | >50 per cent  |
| **Proximity (timeframe)** | Twelve months plus | Nine to twelve months | Six to nine months | Three to six months | Zero to three months |
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| **SECTION 3 RISK SCORING MATRIX** |
|  |  |
|   |  | **Likelihood** |
|  |  | **1 - Rare** | **2 - Unlikely** | **3 - Possible** | **4 - Likely** | **5 – Almost certain** |
| **Consequence** | **1- Insignificant** | **1** | **2** | **3** | **4** | **5** |
| **2 - Minor** | **2** | **4** | **6** | **8** | **10** |
| **3 - Moderate** | **3** | **6** | **9** | **12** | **15** |
| **4 - Severe** | **4** | **8** | **12** | **16** | **20** |
| **5 – Catastrophic** | **5** | **10** | **15** | **20** | **25** |
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| **SECTION 4 ACTION AND REPORTING REQUIREMENTS** |
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| **Score** | **Risk** | **Action**  | **Reporting Requirements** |
| **1-3** | Risk is within tolerance | Managed through normal control measures at the level it was identified | Record on risk register at the level the risk was identified |
| **4-6** | Review control measures at the level it was identified | Record on risk register at the level the risk was identified |
| **8-12** | **Risk Exceeds tolerance** | Actions to be developed, implemented and monitored at the level the risk was identified | Record on Risk Register at the level the risk was identifiedReport to next level of management |
| **15-25** | **Immediate action required**Treatment plans to be developed, implemented and monitored at the level the risk was identified | Record on Risk Register at the level the risk was identifiedReport to next level of managementWith Executive Director approval - enter onto Corporate Risk Register  |