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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 million  Purchasers 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** | | | | | | | | | | | | | | | | | | | | | | |
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|  | | |  | | | | **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 identified  Report 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 identified  Report to next level of management  With Executive Director approval - enter onto Corporate Risk Register | | | | | | | |