

Appendix B

ASSESSING THE LEVEL OF RISK

1) Measures of Consequence – choose one of the descriptors below, consider each domain and section and judge what the most realistic scenario would be if the event occurred. The most serious consequence identified determines the score.

Score	1	2	3	4	5
Domain	None	Minor	Moderate	Major	Catastrophic
Impact on the safety of patients, staff or public (physical / psychological harm)	Minimal injury requiring no/minimal intervention or treatment. e.g. bruise or graze No time off work Pressure damage present on admission	Minor injury or illness, requiring minor intervention i.e. first aid Requiring time off work for <3 days Increase in length of hospital stay by 1-3 days Grade 1/2 pressure damage – hospital acquired.	Moderate injury requiring professional intervention Requiring time off work for 4-14 days Increase in length of hospital stay by 4-15 days RIDDOR/agency reportable incident An event which impacts on a small number of patients Grade 3 pressure damage – hospital acquired. <u>DUTY OF CANDOUR APPLIES FOR THESE INCIDENTS</u>	Major injury leading to long-term incapacity/disability Requiring time off work for >14 days Increase in length of hospital stay by >15 days Mismanagement of patient care with long-term effects Grade 4 pressure damage – hospital acquired. <u>DUTY OF CANDOUR APPLIES FOR THESE INCIDENTS</u>	Incident leading to death Multiple permanent injuries or irreversible health effects An event which impacts on a large number of patients <u>DUTY OF CANDOUR APPLIES FOR THESE INCIDENTS</u>
Security	Verbal abuse +/- aggressive gestures Disruption requiring security guard attendance but no action.	Staff physical assault but no injury Disruptive patient requiring pm low level sedation Security incident requiring isolation of individual causing disruption and security guard attendance for action/intervention	Staff physical assault causing injury Disruptive patient requiring mechanical restraint +/- full sedation / rapid tranquilisation Security incident requiring isolation of individual causing disruption and physical protection of other patients	Staff physical assault causing significant injury Security incident involving relocation of patients to another location e.g. bomb hoax	Significant harm caused to multiple people +/- fatality of staff / patient / visitor Security incident resulting in multiple casualties / death
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	Totally unacceptable level or quality of treatment/service Gross failure of patient safety if findings not acted on Inquest/ombudsman inquiry Gross failure to meet national standards
Adverse Publicity/Reputation	Rumours Potential for public concern	Local media coverage – short-term reduction in public confidence Elements of public expectation not being met	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) Total loss of public confidence
Service/business interruption Environmental impact	Loss/interruption of >1 hour Minimal or no impact on the environment / service delivery	Loss/interruption of >8 hours Minor impact on environment / service delivery	Loss/interruption of >1 day Moderate impact on environment / service delivery	Loss/interruption of >1 week Major impact on environment / service delivery	Permanent loss of core service or facility Catastrophic impact on environment / service delivery
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 Failure to meet specification/ slippage Loss of contract / payment by results Claim(s) >£1 million

Score	1	2	3	4	5
Statutory duty / inspections / audit	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
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 No staff attending mandatory/ key training	Non-delivery of key objective/service due to lack of staff Ongoing unsafe staffing levels or competence Loss of several key staff No staff attending mandatory training /key training on an ongoing basis
Business objectives/ projects	Insignificant cost increase/ schedule slippage Minor reduction in quality/scope	<5% over project budget Schedule slippage Minor reduction in quality/scope	5-10% over project budget Schedule slippage Reduction in quality/scope Reputation risk at local/regional/network level	10-25% over project budget Schedule slippage Key objectives not met Reputation risk with commissioners which may incur penalties	Incident leading >25 per cent over project budget Schedule slippage Key objectives not met Reputation risk at national level (CQC)

2) Measures of Likelihood – choose one of the descriptors below. Consider how likely it is that the event will happen.

Score	Descriptor	Description
1	Rare	Do not believe this event will happen again except only in exceptional circumstances e.g. once a decade, or a probability of <1%
2	Unlikely	Do not expect the event to happen again but it is a possibility e.g. once a year or a probability of 1-5%
3	Possible	The event may re occur occasionally e.g. at least once a month, or a probability of 6-20%
4	Likely	The event will probably re occur e.g. at least once a week or a probability of 21- 50%
5	Certain	The event is likely to re occur on many occasions e.g. at least once a day or probability of >50%. More likely to occur than not.

3) Identifying the Level of Risk - Risk Assessment Matrix (Consequence x Likelihood)

This provides the overall risk score for this event. Take your scores from the assessment of likelihood and consequence tables and plot them on the graph below.

RISK ASSESSMENT MATRIX – LEVEL OF RISK

Likelihood		Consequence				
		Catastrophic 5	Major 4	Moderate 3	Minor 2	None 1
Certain	5	25	20	15	10	5
Likely	4	20	16	12	8	4
Possible	3	15	12	9	6	3
Unlikely	2	10	8	6	4	2
Rare	1	5	4	3	2	1

Key:

Low Risk
1-3

Moderate Risk
4-6

High Risk
8-12

Extreme Risk
15-25

Risk Level and Action Required.

Use this table for guidance about the preventative measures that should be taken to manage the incident and prevent it happening again.

Score	Risk Preventative Measures to be Taken or Planned
1-3	Low Risk – manage by routine procedure. Implement any action that will eliminate the risk of the incident /risk occurring
4-6	Moderate Risk – Management action must be specified. The departmental manager must devise, agree, and implement an action plan to reduce or eliminate the risk
8-12	High Risk – Senior Management action needed. The Directorate Management Team must be aware and the Departmental Managers must devise and implement an action plan to reduce, control, or eliminate the risk. Risk must be inputted onto Directorate and Trust Risk Registers.
15-25	Extreme Risk – Immediate action required. The Directorate Management Team must be made aware and are responsible for ensuring an investigation and action plan is commenced immediately to reduce, control, or eliminate the risk. The Risk Manager and Executive Directors must be made aware. The risk must be inputted onto the Directorate and Trust Risk Registers.