

## Appendix A: Risk Scoring Matrix

**Risk Consequence Score** – Choose the most appropriate Descriptor(s) for the identified risk from the left hand side of the table. Then work along the columns in the same row to assess the severity of the risk on the scale from 1-5 to determine the consequence score which is given at the top of the column. More than one descriptor may be identified, in this case choose the most realistic highest consequence score to apply.

	1	2	3	4	5
Descriptor	Insignificant	Minor	Moderate	Major	Catastrophic
<b>Adverse publicity / reputation</b>	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 < 3 days.  Service well below reasonable public expectation	National media > 3 days.  Service well below reasonable public expectation  MP concern (questions in the House).  Total loss of public confidence
<b>Business objectives and projects</b>	Insignificant cost increase/schedule slippage.	< 5% over project budget/schedule slippage.	5-10% over project budget/schedule slippage.	10-25% over project budget/schedule slippage  Key objectives not met	Incident leading to > 25% over project budget/schedule slippage.  Key objectives not met
<b>Environmental Impact</b>	Minimal impact on the environment	Minor impact on environment	Moderate impact on environment	Major impact on environment	Catastrophic impact on environment
<b>Finance including claims</b>	Small Loss  Risk of Claim remote	Loss of 0.1% to 0.25% of budget  Claim < £10,000	Loss of 0.25% to 0.5% of budget  Claims > £10,000 to £100,000	Uncertain delivery of key objective  Loss of 0.5% to 1% of budget  Claims > £100,000 to £1 million  Purchasers failing to pay on time	Non delivery of key objective  Loss of > 1% of budget  Failure to meet specification/slippage Loss of contract payment by results.  Claims greater than £ 1 million
<b>Human resources / organisational development/ staffing /competence</b>	Short term low staffing level temporarily reduces service quality (< 1 day)	On-going low staffing level reduces service quality	Late delivery of key objective/service due to lack of staff (recruitment, retention or sickness).  Unsafe level or competence (>1 day)  Low staff morale  Poor staff attendance mandatory/essential 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 training attending mandatory/essential training.	Non-delivery of key objective/service due to lack of staff.  On-going unsafe staffing levels or competence  Loss of several key staff.  No staff attending mandatory/essential training on an ongoing basis.
<b>Impact on the safety of patients, staff or public(physical/ psychological harm)</b>	Minimal injury requiring no/minimal intervention or treatment  No absence from work.	Minor injury or illness, requiring minor intervention  Requiring time off work <3 days  Increase hospital stay 1-3 days	Moderate/illness requiring professional intervention  Requiring time off work 4 - 14 days  RIDDOR reportable incident  Increase hospital stay 4-15 days  An event that impacts on a small number of patients/staff/public	Major injury leading to long term incapacity/disability  Requiring time off work for >14 days  Increase hospital stay >15 days  Mismanagement of patient care with long term effects	Incident leading to death  Multiple permanent injuries or irreversible health effects  An event which impacts on a large number of patients/staff/public
<b>Information Risk: -Confidentially -Integrity -Availability Including information risk covering physical , procedural, personal and technical measures</b>	No impact, little or no extra effort to repair, necessary tools & processes in place to prevent recurrence	Tangible harm, extra effort required to repair	Significant expenditure of resources required, damage to reputation and confidence	Extended outage and or loss of connectivity , comprising of large amounts of data or services	Permanent shutdown, complete data or system compromise

	1	2	3	4	5
<b>Inspection and Statutory duty</b>	No or minimal breach of guidance/Statutory duty  Minor recommendations	Breach of statutory legislation  Non-compliance with standards  Recommendations given.  Reduced performance rating if unresolved	Single breach in statutory duty  Non-compliance with core standards  Challenging external recommendations/improvement notice	Enforcement action.  Multiple breaches in statutory duty  Low performance rating  Enforcement action  Critical report	Multiple breaches in statutory duty  Prosecution. Complete systems change required  Zero rating  Severely critical report
<b>Patient experience</b>	Unsatisfactory patient experience not directly related to patient care	Unsatisfactory patient experience – readily resolvable	Mismanagement of patient care – short term effects	Mismanagement of patient care – long term effects	Totally unsatisfactory patient outcome or experience
<b>Quality / Complaints / Audit</b>	Informal/Locally resolved complaint/inquiry  Peripheral element of treatment or service suboptimal	Justified complaint (stage1)  Local resolution  Overall treatment or service suboptimal  Single failure to meet internal standards  Minor implications for patients safety if unresolved  Reduced performance rating if unresolved	Formal complaint (stage 2 )  Local resolution ( with potential to go to independent review)  Treatment or service has significantly reduced effectiveness  Repeated failure to meet internal standards  Major patient safety implications of findings are not acted on	Multiple complaints/independent review  Non-compliance with national standards with significant risk to patients if unresolved  Low performance rating  Critical report	Inquest/ombudsman enquiry  Totally unacceptable level or quality of treatment or service Gross failure of patient safety if findings not acted on  Gross failure to meet national standards
<b>Service / business interruption</b>	Loss / interruption > 1 hour	Loss / interruption > 8 hours	Loss / interruption > 1 day	Loss / interruption > 1 week	Permanent loss of service or facility

### Risk Likelihood Score

1	Rare	Only occurs in exceptional circumstances,. e.g. less than once a year, 1-5 year strategic risk, <1% of time/events.
2	Unlikely	Could occur at some time, e.g. 1 – 3 times a year, at least annually, 1 – 5% of time /events.
3	Possible	May occur/ recur occasionally, e.g. 3 – 6 times a year, at least monthly, 6 – 20% of time/events.
4	Likely	Will probably occur but is not a persistent issue, e.g. 7 – 12 times a year, at least weekly, 21-50% of time/events.
5	Almost certain	Expected to occur/ is a persistent issue, e.g. more than 12 times a year, at least daily, >50% of time/events.

### Risk Score

Where Risk Score = Consequence x Likelihood

By using the equation, a risk score can be determined ranging from 1 (low severity and unlikely to happen) to 25 (almost certain to happen with catastrophic and widespread consequences).

Likelihood	Consequence				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
1 – Rare	1	2	3	4	5
2 – Unlikely	2	4	6	8	10
3 – Possible	3	6	9	12	15
4 – Likely	4	8	12	16	20
5 –Almost Certain	5	10	15	20	25

## Risk Control

The risk score can now form a quantitative basis upon which to determine the urgency of any actions required to control the risk.

<b>1 - 3</b>	<b>Green</b>	<b>Very Low risk</b>	Further risk reduction may not be feasible or cost effective.
<b>4 - 6</b>	<b>Green</b>	<b>Low risk</b>	Risk reduction required, so far as is reasonably practicable. The majority of control measures in place or harm/severity small.
<b>8 - 12</b>	<b>Yellow</b>	<b>Medium risk</b>	Prompt action required, so far as is reasonably practicable. Moderate probability of major harm or high probability of minor harm if control measures not implemented.
<b>15 - 25</b>	<b>Red</b>	<b>High risk</b>	Significant probability that major harm will occur if control measures are not implemented. Urgent action may be required. Consider stopping procedures.

### Notes:

1. The risk scoring matrix must be used when completing a General Risk Assessment.

**Advice and support for completing risk assessments can be sought from the Risk and Incident Team, Suite 1, Munro House, North Devon District Hospital, Raleigh Park, Barnstaple, EX31 4JB.**