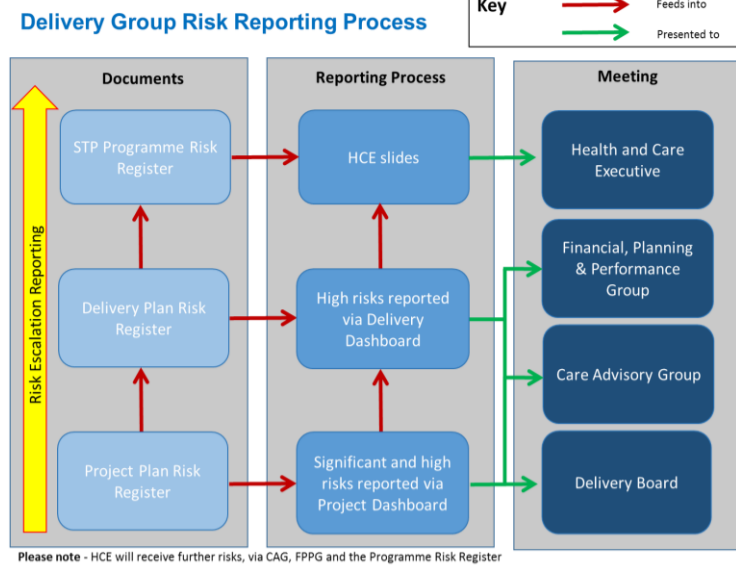


RISK MATRIX

Risk Register	
1	Further details on risk scoring is on the 'Risk Matrix Tab'
2	Project Manager captures all risks within Project Plan
3	Project Manager to submit Project Dashboard with all significant and high risks (scoring between 15-25).
4	All significant and high risks (scoring between 8-25) which have been escalated via Project Dashboard to be populated within the Delivery Plan Risk register tab
5	Delivery Plan Risk Register to be submitted alongside all other risk registers monthly.
6	Project dashboard and Delivery dashboard to be presented to Delivery Board monthly.
7	Any discussions at the Delivery Board should then be updated on the Delivery Plan Risk Register
8	Any high risks (scoring between 15 - 25) are then escalated via the Delivery Dashboard to the HCE.



CALCULATING RISK SCORES FOR THE STP ASSURANCE FRAMEWORK AND RISK REGISTERS

The STP uses the NHS National Patient Safety Agency's Model Risk Matrix to evaluate and score its programme risks. In short this involves identifying and scoring the potential consequence(s) of a risk and assessing and scoring the likelihood of that risk occurring. These two figures are then multiplied to provide an overall risk score. For reference the guidance that is used to calculate these scores is set out below.

TABLE 1 – IDENTIFYING THE CONSEQUENCE SCORE

The most appropriate domain that an identified risk may fall under is chosen from the first column on the left-hand side of the table. Then by working along the columns in the relevant row the severity of the risk is assessed on a scale of 1 to 5 to determine the consequence score. This is the number at the top of the column.

Domains Please note: These are examples used in the national model and can be tailored to individual organizations')	Consequence score (severity levels) and examples of descriptors				
	1	2	3	4	5
	Insignificant	Minor - GREEN	Moderate - YELLOW	Major - AMBER	Catastrophic - RED
Impact on the safety of patients, staff or public (physical/psychological harm)	Minimal injury requiring no/minimal intervention or treatment No time off work	Minor injury or illness, requiring minor intervention Requiring time off work for >3 days Increase in length of hospital stay by 1-3 days	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	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	Incident leading to death Multiple permanent injuries or irreversible health effects An event which impacts on a large number of patients
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	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
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-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

				No staff attending mandatory/ 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
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
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	Incident leading >25 per cent over project budget Schedule slippage Key objectives not met
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 Claim(s) between £100,000 and £1 million Purchasers failing to pay on time	Non-delivery of key objective/ Loss of Failure to meet specification/ slippage Loss of contract / payment by results Claim(s) >£1 million
Service/business interruption Environmental impact	Loss/interruption of >1 hour Minimal or no impact on the environment	Loss/interruption of >8 hours Minor impact on environment	Loss/interruption of >1 day Moderate impact on environment	Loss/interruption of >1 week Major impact on environment	Permanent loss of service or facility Catastrophic impact on environment

TABLE 2 – IDENTIFYING THE LIKELIHOOD SCORE

The table used to determine the likelihood score(s) (L) for those adverse outcomes to a risk is shown below. If possible, the likelihood is scored by assigning a predicted frequency of occurrence of the adverse outcome. If this is not possible, a probability to the adverse outcome occurring within a given time frame is assigned, such as the lifetime of a project. If it is not possible to determine a numerical probability the probability descriptions set out in the table can be used to determine the most appropriate score.

Likelihood score	1	2	3	4	5
Descriptor	Rare	Unlikely - GREEN	Possible - YELLOW	Likely - AMBER	Almost certain - RED
Frequency	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
How often might it/does it happen					

TABLE 3 – CALCULATING THE OVERALL RISK SCORE

The overall risk score is calculated by multiplying the consequence by the likelihood: C (consequence) x L (likelihood) = R (risk score)

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

Low risk Score (1 – 3)	Normal risks which can be managed by routine procedures
Moderate risk Score (4 – 6)	Risks requiring assessment and action planning allocated to Delivery Group
Significant risk Score (8 - 12)	Risks requiring urgent Delivery Group action
High Risk Score (15 – 25)	Risks requiring immediate action by Accountable Officer/Health and Care Executive