

# Appendix 4 Risk Matrix

NHS Quality Improvement Scotland References: AS/NZS 4360:2004 October 2005 Review: October 2007 - 2 - 'Making It Work' (2004)

## Risk Matrix – Impact/Consequence Definitions

| Descriptor                                                            | Insignificant                                                                                                                                                      | Minor                                                                                                                          | Moderate                                                                                                                                                                            | Major                                                                                                                                          | Catastrophic                                                                                                                                                  |
|-----------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Injury (physical and psychological) to patient/visitor/ staff.</b> | Adverse event leading to minor injury not requiring first aid.                                                                                                     | Minor injury or illness, first aid treatment required.                                                                         | Agency reportable, e.g. RIDDOR, Police (Violent and aggressive acts). Significant injury requiring medical treatment and/or counseling.                                             | Major injuries/long term incapacity or disability (loss of limb) requiring medical treatment and/or counseling. Broken bone.                   | Incident leading to death or major permanent incapacity.                                                                                                      |
| <b>Patient Experience</b>                                             | Reduced quality of patient experience/clinical outcome not directly related to delivery of clinical care.                                                          | Unsatisfactory patient experience/ clinical outcome directly related to care provision – readily resolvable.                   | Unsatisfactory patient experience/ clinical outcome; short term effects – expect recovery <1wk.                                                                                     | Unsatisfactory patient experience/ clinical outcome; long term effects – expect recovery > 1wk.                                                | Unsatisfactory patient experience/ clinical outcome; continued ongoing long term effects                                                                      |
| <b>Staffing and Competence</b>                                        | Short-term low staffing level temporarily reduces service quality (< 1 day). Short term low staffing level (>1 day), where there is no disruption to patient care. | Ongoing low staffing level reduces service quality. <b>Minor error</b> due to ineffective training/implementation of training. | Late delivery of key objective / service due to lack of staff. <b>Moderate error</b> due to ineffective training/implementation of training. Ongoing problems with staffing levels. | Uncertain delivery of key objective/ service due to lack of staff. <b>Major error</b> due to ineffective training/ implementation of training. | Non-delivery of key objective/service due to lack of staff. Loss of key staff. <b>Critical error</b> due to ineffective training/ implementation of training. |
| <b>Objectives / Project</b>                                           | Barely noticeable reduction in scope, quality or schedule.                                                                                                         | Minor reduction in scope, quality or schedule                                                                                  | Reduction in scope or quality of project; project objectives or schedule.                                                                                                           | Significant project over-run.                                                                                                                  | Inability to meet project objectives; reputation of the organization seriously damaged.                                                                       |
| <b>Complaints / Claims</b>                                            | Locally resolved verbal complaint.                                                                                                                                 | Justified written complaint peripheral to clinical care.                                                                       | Below excess claim. Justified complaint-involving lack of appropriate care.                                                                                                         | Claim above excess level. Multiple justified complaints.                                                                                       | Multiple claims or single major claim. Complex justified complaint                                                                                            |
| <b>Service / Business Interruption</b>                                | Interruption in a service that does not impact on the delivery of patient care or the ability to continue to provide service.                                      | Short-term disruption to service with minor impact on patient care.                                                            | Some disruption in service with unacceptable impact on patient care. Temporary loss of ability to provide service.                                                                  | Sustained loss of service which has serious impact on delivery of patient care resulting in major contingency plans being invoked.             | Permanent loss of core service or facility. Disruption to facility leading to significant "knock on" effect                                                   |
| <b>Financial (including damage / loss / fraud)</b>                    | Negligible organisational/ personal financial loss. (£<1k). (NB. Please adjust for context)                                                                        | Minor organisational/personal financial loss (£1-5k).                                                                          | Significant organisational/personal financial loss (£5-50k).                                                                                                                        | Major organisational/personal financial loss (£50k-300k).                                                                                      | Severe organisational/personal financial loss (£>300k).                                                                                                       |
| <b>Inspection / Audit</b>                                             | Small number of recommendations which focus on minor quality improvement issues.                                                                                   | Recommendations made which can be addressed by low level of management action.                                                 | Challenging recommendations that can be addressed with appropriate action plan.                                                                                                     | Enforcement action. Low rating. Critical report.                                                                                               | Prosecution. Zero rating. Severely critical report.                                                                                                           |
| <b>Adverse Publicity / Reputation</b>                                 | Rumours, no media coverage. Little effect on staff morale.                                                                                                         | Local media coverage – short term. Some public embarrassment. Minor effect on staff morale/public attitudes.                   | Local media – long-term adverse publicity. Significant effect on staff morale and public perception of the organisation.                                                            | National media/adverse publicity, less than 3 days. Public confidence in the organisation undermined. Use of services affected.                | National/international media/adverse publicity, more than 3 days. MSP/MP concern (Questions in Parliament). Court Enforcement. Public Inquiry/ FAI.           |

# Appendix 4

## Risk Matrix

|                                    |                                                        |                                                                                                             |                                                                                                                                                              |                                                                                                                                                                                                             |                                                                                                                                                                                                   |
|------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Emergency planning/<br>Region wide | Insignificant numbers of injuries or impact on health. | Small number of people affected, fatalities, and a small number of minor injuries with first aid treatment. | Limited number of people affected, no fatalities, some hospitalisation and medical treatment. Localised displacement of small number of people for 6-24 hrs. | Significant number of people in affected area, with multiple fatalities, multiple serious or extensive injuries, significant hospitalization. Large number of people displaced 6-24 hrs or possibly beyond. | Very large number of people (100s) in affected area impacted, significant numbers of fatalities, large number of people requiring hospitalization with serious injuries with longer-term effects. |
|------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Table 2 – Likelihood Definitions

| Descriptor  | Rare                                                                                   | Unlikely                                                                   | Possible                                                                                   | Likely                                                                      | Almost Certain                                                                                           |
|-------------|----------------------------------------------------------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| Probability | Can't believe this event would happen – will only happen in exceptional circumstances. | Not expected to happen, but definite potential exists – unlikely to occur. | May occur occasionally, has happened before on occasions – reasonable chance of occurring. | Strong possibility that this could occur – likely to occur. Not persistent. | This is expected to occur frequently / in most circumstances – more likely to occur than not. Persistent |

### Risk Levels

| Likelihood     | Consequences / Impact |        |          |        |         |
|----------------|-----------------------|--------|----------|--------|---------|
|                | Negligible            | Minor  | Moderate | Major  | Extreme |
| Almost Certain | Medium                | High   | High     | V High | V High  |
| Likely         | Medium                | Medium | High     | High   | V High  |
| Possible       | Low                   | Medium | Medium   | High   | High    |
| Unlikely       | Low                   | Medium | Medium   | Medium | High    |
| Rare           | Low                   | Low    | Low      | Medium | Medium  |