GUIDE TO USING THE 5 X 5 RISK SCORING MATRIX

Worcestershire **NHS**

For…….. Risk Assessments

SECTION 1 - Determine the possible consequences

SECTION 1 – CONSEQUENCE SCORING

Descriptor	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
Objectives/Projects	Insignificant cost increase/schedule slippage. Barely noticeable reduction in scope or quality	<5% over budget/ schedule slippage. Minor reduction in quality/scope	5-10% over budget/ schedule slippage. Reduction in scope or quality.	10-25% over budget/ schedule slippage. Failure to meet secondary objectives.	>25% over budget/ schedule slippage. Doesn't meet primary objectives.
Injury (Physical/ Psychological)	Minor injury not requiring first aid or apparent injury.	Minor injury or illness, first aid treatment needed	RIDDOR/Agency reportable	Major injuries, or long term incapacity/disability (loss of limb)	Death or major Permanent incapacity
Patient Experience/ Outcome	Unsatisfactory patient experience not directly related to patient care	Unsatisfactory patient experience – readily resolved	Mismanagement of patient care, short term effects (less than a week)	Serious mismanagement of patient care, long term effects (more than a week)	Totally unsatisfactory Patient outcome or experience
Complaints / Claims	Locally resolved complaint	Justified 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
Service/Business Interruption	Loss/interruption >1 hour	Loss/interruption >8 hours	Loss/interruption >1 day	Loss/interruption >1 week	Permanent loss of service or facility
HR/Organisational Development	Short term low staffing level	Ongoing low staffing level	Late delivery of key objective/service due to lack of staff.	Uncertain delivery of key objective/service due to lack of staff.	Non delivery of key objective/service due to lack of staff.
Staffing and Competence	Temporarily reduces service quality (< 1 day)	Reduces service quality	Minor error due to ineffective training. Ongoing unsafe staffing level	Serious error due to ineffective training	Loss of key staff. Critical error due to insufficient training

Section 2 - Determine how likely the consequences are to happen

SECTION 2 – LIKELIHOOD OF OCCURRENCE

Risk Score	Frequency	Probability
1 Rare	Not expected to occur for years	The event may occur only in exceptional circumstances
2 Unlikely	Expected to occur at least annually	Unlikely to occur
3 Possible	Expected to occur at least monthly	Reasonable chance of occurring
4 Likely	Expected to occur at least weekly	The event will occur in most circumstances
5 Almost certain	Expected to occur at least daily	Most likely to occur than not

Section 3 - Calculate the risk by using the scoring matrix :

Risk = Consequence x Likelihood = Low; Moderate; High; Extreme

SECTION 3 – RISK SCORING MATRIX

	1	2	3	4	5
1	1	2	3	4	5
2	2	4	6	8	10
3	3	6	9	12	15
4	4	8	12	16	20
5	5	10	15	20	25

Section 4 - Take action proportionate to the risk as indicated

Score	Risk	Actions	Reporting Requirements
1-3	Low	Where appropriate carry out local investigation for low risk incidents. Local managers would be expected to monitor trends associated with this grade of incident and identify where causal factors are generic to the service/area and take appropriate action to address any local systems failures. Any identified low level risks should be managed through existing control measures and assessments kept under review.	Report to manager/supervisor of the area in which the accident/incident occurred or where the risk has been identified.
4-6	Moderate	Investigate to determine underlying causes. Where appropriate review any existing risk assessment and consider the effectiveness of the controls. Implement any further treatment plans as required.	Report to manager/supervisor of the area in which the accident/incident occurred or where the risk has been identified.
8-12	High	**Make safe the situation**. Carry out a full RCA. Action plans to be developed, implemented and monitored. Where a high level risk is identified review effectiveness of existing controls. If adequate control cannot be implemented immediately, an action plan must be developed to indicate how the risk will be reduced, who will be responsible for implementation and the time-scale involved.	**Report immediately** to the appropriate Director/Senior Manager. (See Incident Reporting Policy) Enter onto Corporate Risk Register
15-25	Extreme	**STOP activity and make safe the situation.** Immediate action must be taken to either eliminate or adequately control the risk before any further activity is undertaken. Carry out a full RCA and where appropriate develop, implement and monitor further action plans.	**Immediately report** to appropriate Director/Senior Manager. (See Incident Reporting Policy) Report to Trust Board. Enter onto Corporate Risk Register

For…….. Incidents

Determine the impact of the incident:

Take action as indicated in Section 4. If the impact of an incident rates in a **RED** column – i.e. Major or Catastrophic, refer to your Trust/PCT Incident Reporting Policy flowchart for immediate reporting action.

Determine the likelihood of a recurrence:

Use the Risk Scoring Matrix to assess the likelihood of recurrence, score the risk and take action as indicated in section 4.