

Definitions & guidance

Impact

	1	2	3	4	5
Descriptor	Insignificant	Minor	Moderate	Major	Catastrophic
Injury (Physical & Mental to anyone)	Minor injury not requiring first aid	Minor injury or illness, first aid treatment needed	Reportable to external agencies/statutory bodies (e.g. RIDDOR, HSE, NPSA., etc.)	Major injuries, or long term incapacity / disability (loss of limb)	Death or major permanent incapacity
Patient Experience	Unsatisfactory patient experience not directly related to patient care	Unsatisfactory patient experience – readily resolvable	Mismanagement of patient care / breach of working practices	Serious mismanagement of patient care / breach of working practices	Totally unsatisfactory patient care / working practices
Complaint / Claim Potential	Locally resolved complaint	Justifiable complaint peripheral to clinical care	Justifiable complaint involving lack of appropriate care. Claim below excess	Multiple justifiable complaints. Claim above excess	Multiple claims or single major claim
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 requiring client approval	10 – 25% over budget / schedule slippage. Does not meet secondary objective(s)	> 25% over budget / schedule slippage. Does not meet primary objectives
Service / Business Interruption	Loss / interruption < 1 hour	Loss / interruption >1 hour and < 8 hours	Loss / interruption > 8 hours and < 24 hours	Loss / interruption > 24 hours and < 1 week	Loss / interruption > 1 week
Human Resources / Organisational Development	Short term low staffing level temporarily reduces service quality (< 1 day)	Ongoing low staffing level reduces service quality	Late delivery of key objective / service due to lack of staff (recruitment, retention or sickness). Minor error due to insufficient training. Ongoing unsafe staffing level(s)	Uncertain delivery of key objective / service due to lack of staff (recruitment, retention or sickness). Serious error due to insufficient training.	Non delivery of key objective / service due to lack of staff. Very high turnover. Critical error due to insufficient training.
Financial	Small loss (< £100)	Loss > 0.1% of budget or > £100 and < £1,000	Loss > 0.25% of budget or > £1,000 and < £5,000	Loss > 0.5% of budget or > £5,000 and < £10,000	Loss > 1% of budget or > £10,000
Inspection / Audit	Minor recommendations. Minor non-compliance with standards	Recommendations given. Non-compliance with standards	Reduced rating. Challenging recommendations. Non-compliance with core standards. Reportable to associated external /statutory agencies	Enforcement action. Low rating. Critical report. Multiple challenging recommendations. Major non-compliance with standards	Prosecution Zero rating. Severely critical reports.
Adverse Publicity / Reputation	Rumours	Local Media – short term. Minor effect on staff morale.	Local Media – long term. Significant effect on staff morale.	National Media < 3 days. Local MP concern	National Media > 3 days. National MP concern (questions in House)

Probability/Likelihood

	1	2	3	4	5
Descriptor	Rare	Unlikely	Possible	Likely	Almost Certain
Frequency	Not expected to occur annually	Expected to occur at least annually	Expected to occur at least every 6 months	Expected to occur at least monthly	Expected to occur at least weekly
Probability	< 1% Will only occur in exceptional circumstances	1 – 5% Unlikely to occur	6 – 25% Reasonable chance of occurring	26 – 60% Likely to occur	> 60% More likely to occur than not

Table Source: East of England Risk Management Strategy

Risk Colour	Risk Level
Green 1 to 3	Low
Yellow 4 to 6	Moderate
Orange 8 to 12	Significant
Red 15 to 25	High