



**Trust Risk Matrix**  
**(Consequence)**

Domain	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
Adverse Publicity/ Reputation/ Public Confidence	Rumours  No public/ political concern	Local media area interest – short-term reduction in public confidence  Local public/ political concern  Elements of public expectation not being met	Local media interest – reduction in public confidence  Damage to reputation  Extended local/ regional media interest  Regional public/ political concern	Regional/ national media interest with less than 1 day service well below reasonable public expectation  Loss of credibility and confidence in organisation  Independent external enquiry  Significant public/ political concern  Significant damage to reputation	National media interest with more than 1 day service well below reasonable public expectation  MP concerned (questions in Parliament)  Full public enquiry  Total loss of public confidence in organisation  Major damage to reputation
Business Programmes/ Projects	Temporary defects causing minor short-term consequences to time and quality	Poor project performance shortfall in area(s) of minor importance  (Performance may be related to time, cost & quality – either singularly or in combination of)	Poor project performance shortfall in area(s) of secondary importance  (Performance may be related to time, cost & quality – either singularly or in combination of)	Poor performance in area(s) of critical or primary purpose  (Performance may be related to time, cost & quality – either singularly or in combination of)	Significant failure of the project to meet its critical or primary purpose
Clinical Audit (Provision of Clinical Information)	No or limited/ single disruption to the provision of timely and accurate clinical information across NWAS  Meets local clinical audit standards	Minor disruption to the provision of timely and accurate clinical information on an individual CBU/ business area  Minor discrepancy with local clinical audit standards	Reduction in the provision of timely and accurate clinical information in CBU's/ business areas  Moderate discrepancy with meeting local clinical audit standards	Inconsistent production of timely and accurate clinical information across all CBU's/ business areas  Non-compliance with local clinical audit standards agreed by NWAS  Delay in participation with national and local quality frameworks	Failure to produce clinical information or participate within any local or national quality frameworks  Non-compliance with national clinical and standards
Clinical: Medication Error	Incorrect medication dispensed but not taken	Wrong drug or dosage administered, with no adverse effects	Wrong drug or dosage administered with potential adverse effects	Wrong drug or dosage administered with adverse effects	Unexpected death or permanent incapacity  Incident leading to ling- term health problems

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Cyber Security	The threat is expected to have negligible adverse effect on Trust operations, assets, individuals, or other organisations	<p>The threat is expected to have limited adverse effect on Trust operations, assets, individuals, or other organisations. A limited adverse effect means that the threat might:</p> <p>Cause a degradation in capability to an extent and duration that the Trust is able to perform its primary functions, but the effectiveness of the functions is notably reduced</p> <p>Results in minor damage to Trust assets</p> <p>Minor financial loss</p> <p>Minor harm to individuals</p>	<p>The threat could be expected to have a serious adverse effect on Trust operations, assets, individuals, or other organisations. A serious adverse effect means that the threat might:</p> <p>Cause significant degradation in capability to an extent and duration that the Trust is able to perform its primary functions, but the effectiveness of the functions is significantly reduced</p> <p>Results in significant damage to Trust assets</p> <p>Significant financial loss</p> <p>Significant harm to individuals that does not result in loss of life or serious life threatening injuries</p>	<p>The threat could be expected to be a severe or catastrophic adverse effect on Trust operations, assets, individuals, or other organisations. A severe or catastrophic adverse effect means that the threat might:</p> <p>Cause severe degradation in capability to an extended and duration that the Trust is not able to perform one or more of its primary functions</p> <p>Results in major damage to Trust assets</p> <p>Major financial loss</p> <p>Severe or catastrophic harm to individual that results in loss of life or serious life threatening injuries</p>	<p>The threat could be expected to have a multiple severe or catastrophic adverse effect on Trust operations, assets, individuals or other organisations</p>
Data Security & Protection	No adverse effect that can arise from the breach	Minor adverse effect or any incident involving vulnerable people even if no adverse effect occurred	Potential for some adverse effect	Potential pain and suffering/ financial loss	Death/ Catastrophic event
Environmental Impact	Minimal or no impact on the environment (Small spillage or escape of non-clinical or non-harmful material on Trust premises)	Minor impact on environment (Spillage or escape of clinical or toxic waste with effects contained within unit or department)	Moderate impact on environment (Spillage or escape of clinical or toxic waste affecting an entire building)	Major impact on environment (Significant spillage or escape of clinical or toxic waste with effects contained to Trust property)	Catastrophic impact on environment (Significant discharge or escape of clinical or toxic waste with widespread effects beyond Trust property)
Financial Inc. Claims	Small loss Risk of claim remote (£0-£5,000)	Loss of 0.1-0.25% of budget Claim less than (£5,000-£10,000)	Loss of 0.25-0.5% of budget Claim(s) between (£10,000-£100,000)	Loss of 0.5-1.0% of budget Claim(s) between (£100,000-£1 million) Uncertain delivery of key objective Purchase failing to pay on time	Loss of >1% of budget Claim(s) (>£1 million) Loss of significant contract/ income Non-delivery/ failure to meet key objective/ specification

Domain	Insignificant	Minor	Moderate	Major	Catastrophic
	1	2	3	4	5
Infection Prevention & Control and/ or Ill Health	Exposure to blood/ body fluids/ other sources of infection with no risk	<p>Exposure to blood/ body fluids/ other sources of infection with minimal risk/ no sickness</p> <p>Outbreak involving 3 or more people</p> <p>Physically unwell – GP treatment or treated by staff</p>	<p>Exposure to blood/ body fluids/ other sources of infection resulting in short term sickness (minimum 3 days)</p> <p>Outbreak causing disruption to service or short-term closure (days/ weeks)</p> <p>Physically unwell – planned admission/ attendance at A&amp;E (not blue light) or transfer to general medical ward</p> <p>Inoculation contamination with no infection</p>	<p>Exposure to blood/ body fluid/ other sources of infection resulting in very serious infection, long term sick leave</p> <p>Outbreak causing medium term closure (weeks/ months)</p> <p>Physically unwell – emergency admission to general hospital</p> <p>Inoculation contamination from infected person</p>	<p>Sudden or unexpected death (including where evidence may be related to exposure to infection)</p> <p>Outbreak causing long term closure or termination of service</p> <p>Inoculation contamination causing life threatening disease or death</p>
Moving/ Manual Handling Inc. Slips, Trips & Falls	<p>Malfunction/ fault with equipment</p> <p>Slipping, falling with no injuries</p>	<p>Minor injury as a result of moving or handling</p> <p>Short term staff sickness/ absence (less than 3 days off work)</p> <p>Slipping, falling with minor injuries requiring first aid only</p> <p>Short term staff sickness/ absence (less than 3 days off work)</p>	<p>Moderate injury to staff as a result of moving or handling</p> <p>Staff sickness – more than 7 days off work (RIDDOR reportable)</p> <p>Slip/ trip/ fall resulting in injury such as a sprain, requiring medical attention</p> <p>Staff sickness – more than 7 days off work (RIDDOR reportable)</p>	<p>Serious injury to staff resulting in long term damage</p> <p>Long term staff sickness (RIDDOR reportable)</p> <p>Slip/ trip/ fall resulting in injury such as dislocation/ fracture/ head injury, requiring medical attention and hospitalisation</p> <p>Long term staff sickness (RIDDOR reportable)</p>	<p>Unexpected death or permanent incapacity</p> <p>Incident leading to long-term health problem</p> <p>Unexpected death or permanent incapacity</p> <p>Incident leading to long-term health problem</p>
Patient Safety (Harm to patients and/ or public, including physical and/or psychological harm)	A patient safety incident that results in no/ minimal intervention or treatment	A patient safety incident that results in minor injury or illness, requiring extra observation or minor treatment	<p>A patient safety incident that requires a moderate increase in treatment/ transfer of care and significant, but not permanent harm</p> <p>Psychological harm which a service user has experienced, or is likely to experience, for a continuous period of at least 28 days</p> <p>Causes ongoing pain to a service user for a continuous period of at least 28 days</p>	<p>A patient safety incident that has resulted in unexpected or avoidable injury to one or more people that has resulted in serious harm</p> <p>Unexpected or avoidable injury to one or more people that requires further treatment by a healthcare professional in order to prevent: the death of the service user; or serious harm</p> <p>Actual or alleged abuse not prevented by staff or occurring in our care (for example, sexual abuse, physical or psychological ill treatment, or acts of omission which constitute neglect)</p>	<p>A patient safety incident that has resulted in the unexpected or avoidable death of one or more service users (likely due to service provided by the Trust)</p> <p>A significant patient safety event which impacts on a large number of patients – more than 50 people affected or impacts on the Trust's ability to continue to deliver our services</p>

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	1	2	3	4	5
Physical Violence/ Aggression  Inc. Hostage Situation	Minimal or no impact	Physical attack/ assault such as pushing, shoving, pinching, slapping, hair pulling etc.  Causing minor injury (not requiring immediate medical assessment or treatment)  Threats to prevent staff member leaving property but is persuaded and allows exit	Assault on patients, public or staff which may have physical health/ psychological implication on the victim  Injury may require A&E or GP assessment but no further treatment  Deliberate delay in the departure of staff using minor threats or physical obstruction	Serious assault resulting in physical injuries that require hospital treatment  Deliberate delay in the departure of staff using significant threats or physical obstruction	Homicide or attempted homicide resulting in death or serious prolonged injury or disability  Staff member held hostage using physical force
Service/ Business Interruption	Loss of ability to provide services (Interruption of >1 hour)	Loss of ability to provide services (Interruption of >8 hours)	Loss of ability to provide services (Interruption of >1 day)	Loss of ability to provide services (Interruption of >1 week)	Permanent loss of service or facility
Staff Competence	Staff are adequately equipped with the appropriate skills, knowledge, and competence to undertake their duties  Staff attendance at mandatory/ key training  Insignificant effect on delivery of service objectives due to failure to maintain professional registration (less than 10 staff)	Minor error due to a lack of appropriate skills, knowledge, and competence to undertake duties  Insignificant staff attendance at mandatory/ key training (Within 5%)  Minor effect on delivery of service objectives due to failure to maintain professional development or status (between 11-50 staff)	Moderate error due to limited skills, knowledge & competence to undertake duties  Poor staff attendance for mandatory/ key training (6 – 10%)  Moderate effect on delivery of service objectives due to failure to maintain professional developments or status (between 51-100 staff)	Serious error or due to limited skills, knowledge & competence to undertake duties  Regular poor/ low attendance at mandatory/ key training (11 – 20%)  Major effect on delivery of service objectives due to failure to maintain professional development or status (between 101-250 staff)	Critical error due to limited skills, knowledge & competence to undertake duties  Significant/ inconsistent low uptake of attendance at mandatory/ key training (>21 or 2 months+)  Significant effect on delivery of service objectives due to failure to maintain professional development or status (more than 250 staff)
Staff Safety  (Harm to staff and/or contractors, including physical and/or psychological harm)	No time off work  Minor injury not requiring first aid or no apparent injury	Minor injury, illness, Mental Health issue or first aid treatment needed  Requiring intervention  Short term staff sickness/ absence (less than 3 days off work)	Moderate injury, illness, Mental Health issue requiring hospital treatment/ outpatient appointments/ assessment of social care needs  Staff sickness – more than 7 days off work  Possible RIDDOR/ MHRA/ StEIS reportable incident	Major injury, illness, Mental Health issue requiring long term treatment or community care intervention  Long term staff sickness  More than 15 staff affected  Post-traumatic stress disorder	Death  Life threatening injury or illness or harm  Permanent injury/ damage/ loss of limb/ long term incapacity or disability  StEIS
Staffing Levels	Short-term low staffing levels that temporarily reduces service quality (less than 1 day)	Low staffing levels that reduce the service quality (1-5 days)	Late delivery of key objective/ service due to lack of staff/ capacity  Unsafe staffing level (1-2 weeks)  Staff Turnover	Uncertain delivery of key objective/ service due to lack of staff  Unsafe staffing level (more than a month)  Loss of key staff  Staff Turnover	Non-delivery of key objective/ service due to lack of staff  Constant ongoing unsafe staffing levels or competence  Loss of several key staff

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Statutory Duty/ Inspection	No breach/ minimal impact of guidance/ statutory duty	Single breach identified which if repeated would result in significant infringement of any person's rights or welfare (of less than one week duration), minor reduction in quality of life, minor reversible health condition	Single breach, if repeated, would result in a risk of harm including temporary disability (of more than one week's but less than one month's duration), reversible adverse health condition, significant infringement of any person's rights or welfare (of more than one week but less than one month duration) and /or moderate reduction in quality of life	<p>More than one breach of a regulation or relevant requirements at the same location (sector, Directorate) or across the whole or part of the service, which may indicate that the current conduct is part of a pattern</p> <p>Failure to make improvements since previously identified breach or enforcement action</p> <p>Known failure to assess or act on a breach</p> <p>Breaches that may result in civil enforcement action, low performance rating or improvement notices</p>	<p>Breaches that result in criminal enforcement action or removal of registration for example:</p> <p>A breach/ multiple breaches that has resulted in death of one or more patient</p>