

## Consequence Scoring Matrix

Domain	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
<b>Adverse Publicity/ Reputation/ Public Confidence</b>	Localised issue. Ad-hoc public or political concern.	Short term local media interest.  Short-term reduction in public confidence.  Local area public/ political concern.  Anecdotal comments.	Sustained local media interest – extending to regional interest.  Regional public/ political concern.  Reduction in public confidence.  Damage to reputation.	Regional/ national media interest.  Significant public/ political concern.  Loss of credibility and confidence in organisation.  Independent external enquiry.  Significant damage to reputation.	Sustained national media interest.  Total loss of public confidence and credibility in organisation.  Full national/ parliamentary/ public enquiry.  Major damage to reputation.
<b>Business Programmes/ Projects</b>	Temporary defects causing minor short-term consequences to time and quality.	Elements of public expectation not being met.  (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 objective.  (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 objective.
<b>Clinical Audit (Provision of Clinical Information)</b>	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 framework.  Non-compliance with national clinical and standards.
<b>Clinical: Medication Error</b>	Incorrect medication supplied but not taken.	Wrong medicine or dosage administered, with no adverse effects.	Wrong medicine or dosage administered with potential adverse effects.	Wrong medicine or dosage administered with adverse effects.	Unexpected death or permanent incapacity Incident leading to long-term health problems.

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<b>Cyber Security</b>	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.</p> <p>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>	The threat could be expected to have a multiple severe or catastrophic adverse effect on Trust operations, assets, individuals or other organisations.
<b>Data Confidentiality/ Security</b>	Email containing non-sensitive information sent to incorrect recipient within the Trust.	<p>Email containing sensitive information sent to an incorrect recipient within the Trust.</p> <p>Staff who are not entitled to share sensitive information cc'd in a chain of emails.</p> <p>Loss of an encrypted laptop.</p> <p>Paper records posted without appropriate labelling/protection.</p>	<p>Emailing an incorrect file containing personal data to an external non-NHS correct addressee such as a solicitor or a data subject.</p> <p>Patient information disclosed via a Trust WhatsApp group.</p>	<p>Disclosure of patient information on an open social media site.</p> <p>Member of staff accessing own family medical records.</p> <p>Employee abusing of his/her position in the Trust to misuse colleagues' personal data.</p>	Death/ Catastrophic event arising from breach.
<b>Environmental Impact</b>	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).

Domain	Insignificant	Minor	Moderate	Major	Catastrophic
	1	2	3	4	5
<b>Financial</b>	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.
<b>Infection Prevention &amp; Control</b>	Exposure to blood/ body fluids/ other sources of infection with no risk.	Exposure to blood/ body fluids/ other sources of infection with minimal risk/ no sickness. Outbreak involving 2 or more people. Physically unwell – GP treatment or treated by staff. Inoculation contamination from person with no known infection.	Exposure to blood/ body fluids/ other sources of infection resulting in short term sickness (minimum 3 days). Outbreak causing disruption to service or short-term closure (days/ weeks). Physically unwell – planned admission/ attendance at A&E (not blue light) or transfer to general medical ward. Inoculation contamination from person with no known infection	Exposure to blood/ body fluid/ other sources of infection resulting in very serious infection, long term sick leave. Outbreak causing medium term closure (weeks/ months). Physically unwell – emergency admission to general hospital. Inoculation contamination from infected person.	Sudden or unexpected death (including where evidence may be related to exposure to infection) Outbreak causing long term closure or termination of service. Inoculation contamination causing life threatening disease or death.
<b>Moving/ Manual Handling</b>	Malfunction/ fault with equipment. Slipping, falling with no injuries.	Minor injury as a result of moving or handling. Short term staff sickness/ absence (less than 3 days off work). Slipping, falling with minor injuries requiring first aid only. Short term staff sickness/ absence (less than 3 days off work).	Moderate injury to staff as a result of moving or handling. Staff sickness – more than 7 days off work (RIDDOR reportable). Slip/ trip/ fall resulting in injury such as a sprain, requiring medical attention. Staff sickness – more than 7 days off work (RIDDOR reportable).	Serious injury to staff resulting in long term damage. Long term staff sickness (RIDDOR reportable). Slip/ trip/ fall resulting in injury such as dislocation/ fracture/ head injury, requiring medical attention and hospitalisation. Long term staff sickness (RIDDOR reportable).	Unexpected death or permanent incapacity. Incident leading to long-term health problem. Unexpected death or permanent incapacity. Incident leading to long-term health problem.
<b>Patient Safety</b>	No harm caused to a person or the Trust.	Low harm: patient required extra observations or minor treatment.	Moderate harm: patient required further treatment or transfer of care. Prolonged psychological harm: Psychological harm a service user has experienced or is likely to experience for a continuous period of more than 28 days.	Severe: Permanent or long-term harm or significant deterioration in condition. Death: Not related to the service provided by the trust.	Death: Likely due to the service provided by the trust.

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<b>Physical Violence/ Aggression</b>	Aggression with minimal or no impact.  Verbal abuse with minimal impact.	Physical attack/ assault such as pushing, shoving, pinching, slapping, hair pulling etc.  Minor injury (not requiring immediate medical assessment or treatment)  Threats to prevent staff member leaving property but is persuaded and allows exit.  Verbal abuse with minor impact with no further action.	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.  Verbal abuse causing moderate distress requiring further action.	Serious assault resulting in physical injuries that require hospital treatment.  Deliberate delay in the departure of staff using significant threats or physical obstruction.  Verbal abuse causing distress and psychological impact requiring reporting and investigation.	Homicide or attempted homicide resulting in death or serious prolonged injury or disability.  Staff member held hostage using physical force.  Verbal abuse causing severe distress and psychological impact requiring investigation.
<b>Service/ Business Interruption</b>	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
<b>Staff Competence</b>	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)
<b>Staff Safety</b>	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.
<b>Staffing Levels</b>	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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<b>Statutory Duty/ Inspection</b>	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>