

												LIKELIHOOD					
												1	2	3	4	5	
												RARE	UNLIKELY	POSSIBLE	LIKELY	CERTAIN	
												<20%	20% to 40%	40% to 60%	60% to 80%	< 80%	
												Should not occur and probably never will. May occur only in exceptional circumstances. A one off event at most	Not expected to occur but there is a slight possibility it could at some point. Frequency of less than once a quarter.	Could occur at some point. There is a history of occurrence within the organisation.	There is a strong possibility the event will occur. There is a recent and frequent history of the occurrence within the organisation or across the	The event is expected to occur in most circumstances. There is a history of regular occurrences at the organisation or across the	
IMPACT																	
		A	B	C	D	E	F	G	H	I	J						
RATING	DESCRIPTION	OBJECTIVES / PROJECTS	SAFETY / HARM / INJURY TO PATIENTS, STAFF VISITORS AND OTHERS	QUALITY / ACTUAL OR POTENTIAL COMPLAINTS AND CLAIMS	SERVICE DISRUPTION	STAFFING AND COMPETENCE	FINANCIAL	INSPECTION / AUDIT	PARTNERSHIP WORKING	COMPLIANCE / LEGISLATION	ADVERSE MEDIA / REPUTATION						
SEVERITY	1	INSIGNIFICANT / NEGLIGIBLE	Insignificant cost increase or time slippage. Barely noticeable reduction in scope or quantity	No or minimal chance of harm to patients. No or minimal intervention required.	Locally resolved complaint. No or minimal chance of claim. No impact on outcome.	Loss / Interruption more than 1 hour	Short term low staffing levels leading to reduction in quality (less than 1 day)	Minor recommendations	Difficulties communicating with partners	No or minimal threat to breach of statutory duty.	Localised rumours. Adverse provider local media report for which we hold substantial contracts with.	1	2	3	4	5	
	2	MINOR	Less than 5% cost or time increase. Minor reduction in quality or scope	CCG Minor safety incident (e.g. small IG data sharing breach). Minor injury or illness requiring minimal intervention. Impact on length of stay by 1-3 days. Staff needed <3 days off work or normal duties	Small claims (<£10K). Minor risk to quality (e.g. delayed discharge). Complaint peripheral to clinical care.	Loss of one whole working day	On-going low staffing levels reducing service quality	Loss of 0.1% budget (£1K - £10K). Minor organisational or personal financial loss. Major impact on individual project or budget holders financial position.	Recommendations given. Non-compliance with standards.	Lack of information sharing.	Reduced provider performance rating. Single failure to meet internal standards. Minor breach of contract / short term failure to achieve KPI Minor threat to breach of statutory duty.	Negative local media report. Localised media campaign against provider for which we hold substantial contracts.	2	4	6	8	10
	3	MODERATE	5-10% cost or time increase. Moderate reduction in scope or quality	Injury requiring professional intervention. Increased length of stay by 4-14 days. Increased waiting times by up to 3 weeks (excluding RTT). Infection control threshold breach. Reportable incident (RIDDOR) An event impacting on a small number of patients (1-10) Individual(s) required a moderate increase in care. Staff needed >3 days off work	Below excess claim. Justified complaint involving sub-standard care. Formal complaint (Ombudsmen). Service has significantly reduced effectiveness.	Loss of more than one working day.	Late delivery of key objectives / service due to lack of staff. On-going unsafe staff levels.	Loss of more than 0.25% of budget (£10K - £100K). Significant organisational or personal loss. Major impact on programme board budget.	Reduced rating. Challenging recommendations. Non-compliance with standards.	Temporary closure of small service. Targets and plans not aligned. Partners intending to cut services that impact on CCG services.	Reduced provider rating following CQC improvement notice. Single breach of standard NHS contract. Sustained failure to achieve a single KPI. Failure to deliver NHS constitutional standard e.g. acknowledging complaints within 32 working days.	Poor patient reported outcomes. Poor patient adult report. Local media front page report. Local Media front page story. National media report critical of provider services for which we hold substantial contracts with or are mentioned in the report> Letter from local MP.	3	6	9	12	18
	4	MAJOR	10% to 25% cost or time increase. Failure to meet secondary objectives.	Individual(s) suffered permanent harm. Staff sustained a 'Major Injury' CCG SI as defined by national guidance. Major injury leading to long term condition / disability. Increased length of stay >15 days. Mismanagement of patient care with long term effects.	Claim above excess level. Significant increase in SIS at provider we hold substantial contracts with. Failure to meet a number of NHS targets. Multiple complaints / independent review. Multiple claims exceeding £10K. Significant impact on clinical outcome.	Loss of more than one working week.	Uncertain delivery of services due to lack of staff. Large error owing to insufficient training.	Loss of more than 0.5% of budget (<£500K). Major organisational or personal financial loss (£100K - £1M). Significant impact on the financial position of the CCG.	Enforcement action. Critical report. Major non-compliance with core standards.	Significant disagreement with partners on plans and priorities. Overview and scrutiny committee publicly critical of CCG.	Critical independent report. Provider performance rating resulting in enforcement notice. NHSE Assurance process failure. Non compliance with national standards carrying a risk to patients. Significant failure of a vital KPI. Sustained failure to achieve multiple KPI.	Sustained local media campaign against the CCG. Short national media article critical in nature.	4	8	12	16	20
	5	SEVERE	>25% cost or time increase. Failure to meet primary objective	Incident leading to death. Multiple permanent injury or irreversible health effect. An event significantly impacting on a large number of patients (>10)	Failure to meet RTT / Cancer / A&E target (more than 6 months). Inquest / Ombudsmen inquiry. Gross failure of patient care. Multiple or single claim exceeding £1M	Permanent loss of premises or facility.	Non delivery of service. Critical error owing to insufficient training	Loss of more than 1% budget. >£500K. Severe organisational or personal financial loss (>£1M). Serious impact on financial position of the CCG.	Prosecution. Zero rating. Severely critical report.	Legal action from Partner. Financial mismanagement of partner	CCG placed under special measures by NHSE Prosecution as a result of mismanagement. Gross sustained failure to meet national standards. Gross failure to deliver against contract resulting in poor outcomes or care	National media focus for more than 3 days. MP concerned (questions raised in the House of Commons). Complete loss of public confidence	5	10	15	20	25