

Appendix 7

Risk Escalation Thresholds and Responsibilities

The Trust risk matrix (see Appendix 6) is used to identify and to prioritise risks by their risk score (i.e. consequence x likelihood). The Trust has a clear escalation process based on the risk score and this is shown below: The scoring/grading is a tool to enable staff to recognise when issues cannot safely be contained, and must be escalated to ensure effective risk reduction measures are put in place.

Once a risk has been identified and assessed in the light of the current control measures in place to reduce the risk if it scored at a high level, staff must ensure that it is raised with their line manager without delay. This is part of the normal management process.

Risks are coded red amber or green (RAG) according to severity. However it must be noted that the risk scores are not intended to be a precise mathematical measure of risk. Any concerns must be escalated as part of the normal management process.

Risk De-escalation Thresholds and Responsibilities

The Trust's risk systems aim to reduce risk scores by effective action and the introduction of new/improved controls.

Once a risk has been added to a register (directorate, corporate or BAF) it will be subject to review at a frequency determined by the Terms of reference of the relevant committee/group.

If at review of a risk entry the Committee is assured that mitigation of the risk has been achieved then the risk can be regraded to the relevant score, and deescalated from the relevant register if appropriate

Cascading Between Registers

A risk that is escalated to a corporate register should remain noted on the Directorate register. A corporate risk that is relevant to one or more directorates should be cascaded to the relevant Directorate register so that the relevant risk leads can be kept up to date with the full risk picture rather than just a local risk picture.

Grading

Acceptable risk - Minor risk (Green): Risks scored between 1 and 3 will be considered 'acceptable risk'. On or below this level a risk is acceptable however existing controls should be monitored locally within Directorates and local Governance groups and adjusted regularly. No further action or additional controls are required.

Unacceptable risk - Major risk (amber): Risks scored between 4 to 12 will be considered 'major risk'. Immediate action must be taken to manage the risk and entered on the Directorate Risk Register. Control measures should be put in place, which will have the effect of reducing the impact of an event or the likelihood of an event occurring. A number of control measures may be required. Resources may have to be allocated to reduce the risk.

Unacceptable High Risk (red): Risks scored between 15 to 25 will be considered high risk to the Trust and entered on the Corporate Risk Register. Notification takes place through submission of the Directorate Risk Registers to the Assurance Department. Control measures should be put in place, which will have the effect of reducing the impact of an event or the likelihood of an event occurring. A number of control measures may be required. Significant resources may have to be allocated to reduce the risk. Where the risk involves work in progress urgent action should be undertaken.