

RISK GUIDE – JUNE 2022

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Introduction

Aim of the risk guide

Implementing the Risk Management Framework ensures that we embed risk management in our trust activities and that we manage risks effectively and efficiently to deliver our vision to be a provider of excellent health and care services for our patients and the local community.

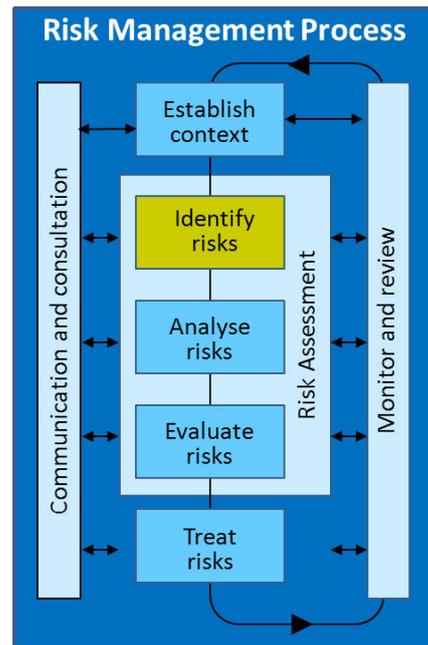
This guide is not exhaustive but aims to provide trust staff with an overview of the risk management process.

Full details of risk management arrangements can be found in the Risk Management Framework, Policy and Procedure.

Contact details

For advice and support please contact:

John Harrop
Head of Risk
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Risk Identification

Aim of the risk guide

This guide aims to help staff members engaged in planning and risk management activities to understand:

- the importance of the risk identification step
- some methods and sources for identifying risks
- other considerations associated with identifying a risk.

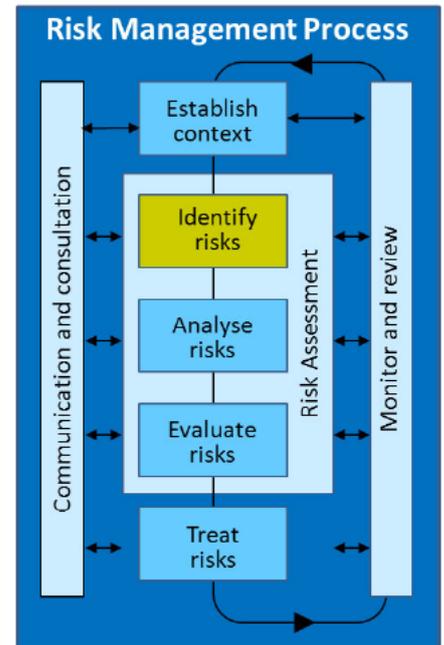
Why is risk identification important?

Identifying risks is the first and perhaps the most important step in the risk management process. It involves generating a comprehensive list of threats and opportunities based on events that might enhance, prevent, degrade, accelerate or delay the achievement of your objectives. If you do not identify a risk, you cannot manage it.

It is also important to scan the environment from time to time to identify new and emerging risks, as the trust’s exposure to risk may be constantly changing.

How do I identify risks?

Identifying risks is a key step in a proactive risk management process. As part of this process, you must look at the following sources:



Sources	Description
Datix Risk register	Existing significant risks should be recorded on the Datix Risk Register. The risk register provides a foundation for evaluating existing risks and their potential risk to an objective.
Strategic Plans	All significant risks associated with the delivery of Board level plans, such as ‘WWL Strategy 2030’, should be recorded within the Board Assurance Framework (BAF) on Datix.
Business Plans, Project Plans, Tenders, Sub Committee Work plans Workforce Plans	All significant risks associated with the delivery of business plans should be recorded in the business plan with appropriate controls and mitigation identified. Business planning risks scoring 8 or above should also be recorded on the Datix risk register at the point that the business plan is agreed and a financial value attached to the risk wherever possible.
Incident Investigations/Reviews	Existing risks associated to the incident should be reviewed during the investigation of the incident. Consideration should be given to the wider implications and root cause of the incident and whether a new risk entry is required.

Sources	Description
Audit reports	Independent view of adherence to regulatory guidelines including CQC, commissioners, HSE, MIAA, a review of compliance preparations, security policies, access controls and management of risks.
Business Impact Analysis (BIA)	Detailed risk analysis that examines the nature and extent of disruptions and the likelihood of the resulting consequences.
Internal & external reviews	Reviews undertaken to evaluate the suitability, adequacy and effectiveness of the department's systems, and to look for improvement opportunities.

There is no easy scientific method that will guarantee you will identify all risks. Some additional better practice approaches to and sources for identifying risks include:

Approach /Sources	Description
SWOT analysis (Strength, Weakness, Opportunity Threats)	Commonly used as a planning tool for analysing a business, its resources and its environment by looking at internal strengths and weaknesses; and opportunities and threats in the external environment
PESTLE (Political, Economic, Sociological, Technological, Legal, Environmental)	Commonly used as a planning tool to identify and categorise threats in the external environment (political, economic, social, technological, legal, environmental)
Brainstorming	Creative technique to gather risks spontaneously by group members. Group members verbally identify risks in a 'no wrong answer' environment. This technique provides the opportunity for group members to build on each other's ideas
Scenario analysis	Uses possible (often extreme) future events to anticipate how threats and opportunities might develop.
Surveys/Questionnaires	Gather data on risks. Surveys rely on the questions asked.
One-on-one interviews	Discussions with stakeholders to identify/explore risk areas and detailed or sensitive information about the risk.
Stakeholder analysis	Process of identifying individuals or groups who have a vested interest in the objectives and ascertaining how to engage with them to better understand the objective and its associated uncertainties
Working groups	Useful to surface detailed information about the risks i.e., source, causes, consequences, stakeholder impacted, existing controls
Corporate knowledge	History of risks provide insight into future threats or opportunities through: <ul style="list-style-type: none"> • <i>Experiential knowledge</i> – collection of information that a person has obtained through their experience. • <i>Documented knowledge</i> – collection of information or data that has been documented about a particular subject. • <i>Lessons learned</i> – knowledge that has been organised into information that may be relevant to the different areas within the organisation.
Process analysis	An approach that helps improve the performance of business activities by analysing current processes and making decisions on new improvements.
Other trusts	Issues experienced and risks identified by other trusts should be identified and evaluated. If it can happen to them, it can happen here.

What information should we collect during the risk identification step?

Identifying risks involves considering what, when, why, where and how things can happen. More specifically:

- **What are the sources of opportunity or threat** – the things that have the inherent potential to harm or to facilitate harm or present an opportunity.
- **What could happen** – events or incidents that could occur whereby the source of opportunity or threat has an impact on the achievement of objectives.
- **Where** – the physical locations/assets where the event could occur or where the direct or indirect consequences may be experienced.
- **When** – specific times or time periods when the event is likely to occur and/or the consequences realised.
- **How** – the manner or method in which the risk event or incident could occur.
- **Causes** – what are the direct and indirect factors that create the source of risk or threat.
- **Business consequences** – what would be the impact on objectives if the risk was realised.
- **Business areas/partners affected** – what parts of the organisation and what partners might be involved or impacted?
- **Existing controls** – a preliminary review of existing controls should be undertaken to identify
 - **What controls currently exist** to minimise the likelihood and consequences of each risk?
 - **What vulnerabilities exist** that could undermine the effectiveness of the controls?

Note: a detailed review is completed during the risk analysis process.

Other considerations

Risks relating to multiple objectives

A risk may be related to more than one of the Division's objectives and/or its potential impact may vary in relation to different objectives, and the best way of addressing the risk may be different in relation to different objectives. Risk identification may therefore require different levels of analysis.

Risk statements

It is important to express the identified risks as specifically as possible in relation to the objective. Otherwise, the ability to assess and manage the risk will be less than effective.

Risk Guide 3: Risk statement provides more guidance on writing a good quality risk statement.

Risk ownership

Once risks are identified, they should be assigned a risk owner who has responsibility for ensuring that the risk is being managed and monitored.

Risk categories

Risks during this initial phase of the process should also be allocated a risk category.

Risk Guide 4: Risk categories provides more guidance on allocating a risk to a risk category

Risk versus Issue

Aim of the risk guide

This guide aims to help staff members engaged in planning and risk management activities to understand:

- the difference between a risk and an issue, and
- the importance of differentiating between managing a risk and an issue.

What is the difference between a risk and an issue?

The formal definition of a risk is the 'effect of uncertainty on objectives'¹, whether that effect is a positive opportunity or a negative threat.

On the surface, it's quite clear:

- an **issue** is a problem **today**
- a **risk** *may* become a problem in the **future**.

In practice it's not ALWAYS that simple to understand the difference between a risk and an issue. Many people struggle with the question "Is this an issue or is it a risk?"

A **risk** is 'a future event' that *may* have an impact on organisational objectives. It may happen or it may not. We can plan for risk based on its likelihood and potential impact – risks can be avoided completely, minimized, transferred to another party, or we can meet them head on with strategies to deal with their effects.

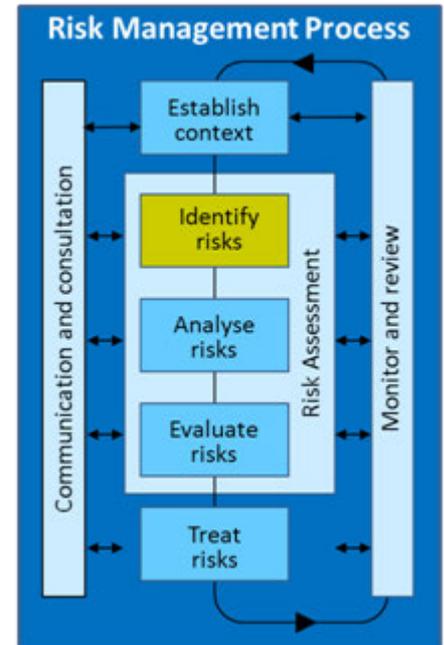
An **issue** is 'a present problem or concern influencing organisational objectives'. In other words, an issue is raised when something has gone or is going wrong and will affect the organisation.

A risk can become an issue, but an issue is not a risk because it has already happened.

Why do we differentiate between management of risks and issues?

Focussing on risk management allows us to plan ahead to help achieve goals to potentially spend less time on issue management.

It is also important to remove issues from the risk register. Since issues are managed by applying resources to the consequences, inclusion of issues in the risk registers tends to mask true risks and serves to track rather than resolve or modify risks.



¹ISO 31000:2018 Risk management –guidelines

Risk Statement

Aim of the risk guide

This guide aims to help staff members engaged in planning and risk management activities to understand:

- the importance of getting the risk statement right, and
- how to write a quality risk statement.
- Risk statements should be recorded in the Datix risk register record.

Importance of getting the risk statement right

As part of the risk identification step, it is extremely important to get the risk statement well defined, as it is where the risk story is told. You need to assume that the reader could be from any level in the trust and may or may not understand your business and/or the risk in question.

A good risk statement must be:

- clear
- comprehensible
- Unambiguous.

A good risk statement will:

- generate a common and improved understanding of the risk and
- support effective assessment and management of the risk.

How to write a quality risk statement?

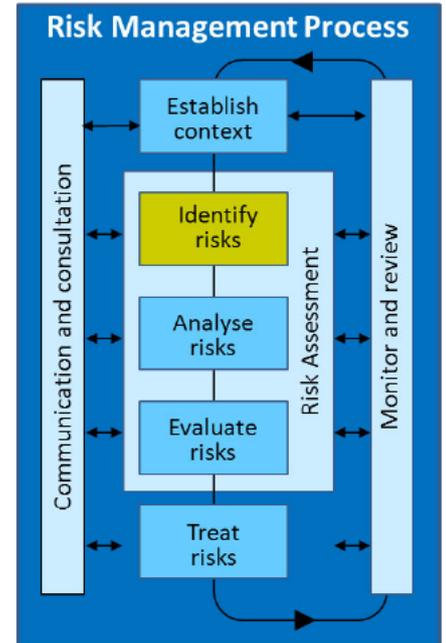
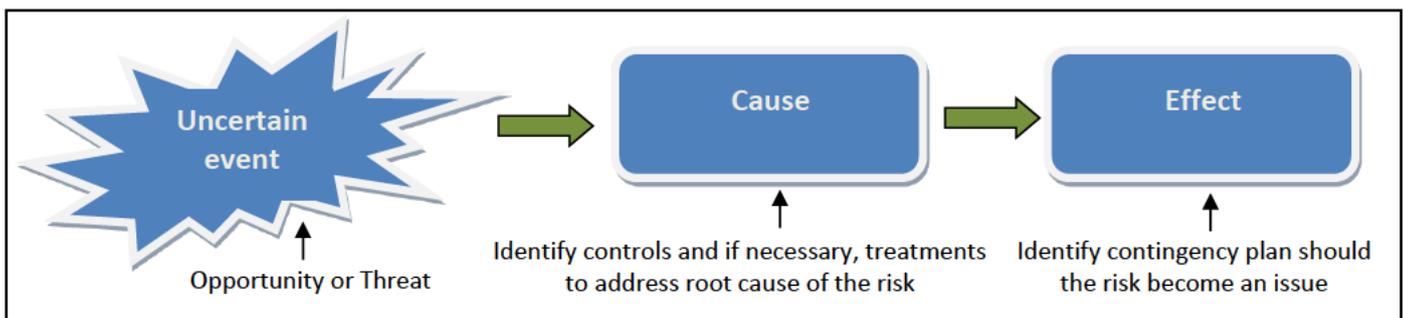
In describing risks, avoid:

- stating impacts which may arise as being the risks themselves
- including risks which do not impact on objectives
- including risks which are simply the converse of the objectives.

To avoid poor expressions of the risk, the risk statement should encompass three key elements (Figure 1):

- **uncertain event:** what could occur, uncertain set of circumstances, area of uncertainty
- **its cause:** trigger, source, factor contributing to risk occurring or increasing likelihood of occurring
- **its effect:** consequence, impact, effect on objectives.

Figure 1: Elements of a risk statement



Threat Example: The Fire Service has informed the trust that staff are taking industrial action and there may be a limited, delayed or no response to a fire call from the trust.

Risk statement element	Leading /linking words	Example
Uncertain event	There is a risk that	the trust will not receive a full response from the fire service in the event of an actual fire
Risk cause	Due to	Industrial action by the Fire Service
Risk effect	Resulting in/leading to	Limited response from Fire Service, threat to life of patients, staff and visitors and property damage/closure.

Opportunity example: Social distancing requirements has led to the postponement of some face-to-face services. There is an opportunity to introduce digital services earlier than planned.

Risk statement element	Leading /linking words	Example
Uncertain event	There is a risk that	patients will not be able to attend their scheduled face to face appointments
Risk cause	Due to	social distancing requirements restricting face to face appointments
Risk effect	Resulting in/leading to	an opportunity to install a new digital video appointment system ahead of schedule

The three elements of the risk statement can be stated in any order, depending on how the information is to be used.

Why are risks expressed as a cause-and-effect relationship?

If risks are not managed well, there are likely to be impacts for the objectives and performance of the trust.

Understanding the most important **cause** will help formulate the best possible actions to manage the uncertainty. For example, targeting controls and treatments to address the root cause instead of the symptom.

Understanding the most important **effect** will help to identify an appropriate contingency plan in case the risk becomes an issue.

Linking Risk Statements to Objectives

Risk is the effect of uncertainty on achieving the trust's objectives. The Datix risk record includes a section to record whether the risk has a positive and/or negative effect on achieving the trust's objectives. Each risk record within Datix should be linked to one of the trusts four 'Principal Objectives': Patients, People, Performance or Partnerships. Each Division will have identified actions within their annual Business Plans which link in with the trust's principal objectives. An additional free text box is included within the Datix risk record to enable Divisional objectives from annual Business Plans to be recorded within the risk record and provide the link between the risk statement and objectives.

Appendix 1 further demonstrates examples of good and poor risk statements: -

Appendix 1: Examples of Risk statements

Good risk statement example

Uncertain event	Cause	Consequence
<i>There is a risk that:</i> <ul style="list-style-type: none"> there will be a disruption to the IT system 	<i>Due to:</i> <ul style="list-style-type: none"> a backup system not being in place 	<i>Will result in:</i> <ul style="list-style-type: none"> loss of data business disruption

Poor risk statement example

Uncertain event	Cause	Consequence
<i>There is a risk that:</i> <ul style="list-style-type: none"> the IT system is not being backed up 	<i>Due to:</i> <ul style="list-style-type: none"> an IT failure 	<i>this will result in</i> <ul style="list-style-type: none"> loss of data
<p>Explanation: System not backed up is a control failure. Also, an IT failure is not the cause of the system not being backed up, inadequate work practices are.</p>		

Risk Categories

Aim of this risk guide

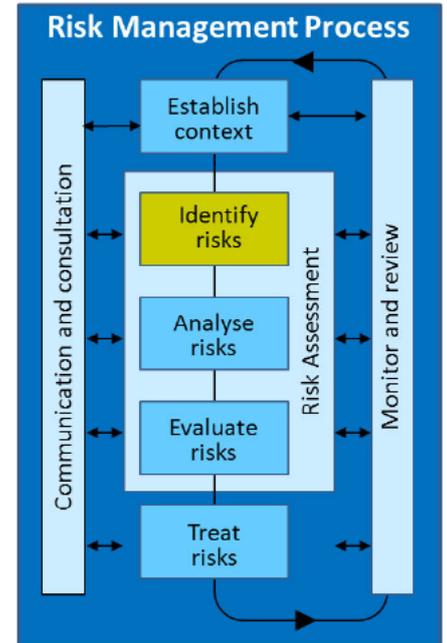
This guide aims to help staff members engaged in planning and risk management activities to understand:

- why and how risk categories are used
- how to allocate a risk to the most appropriate risk category.

Why and how we use risk categories?

Risk identification includes clearly defining the risk through the risk statement, as well as categorising the risk. Both of these processes help to assess, monitor and review, and communicate the risk.

One of the ways the trust understands its risk profile is to analyse and report risks within each Division’s business plan. This enables us to view the risks that impact on our objectives. However, this approach is limited in that it doesn’t help us know how risks relate to each other across divisions.

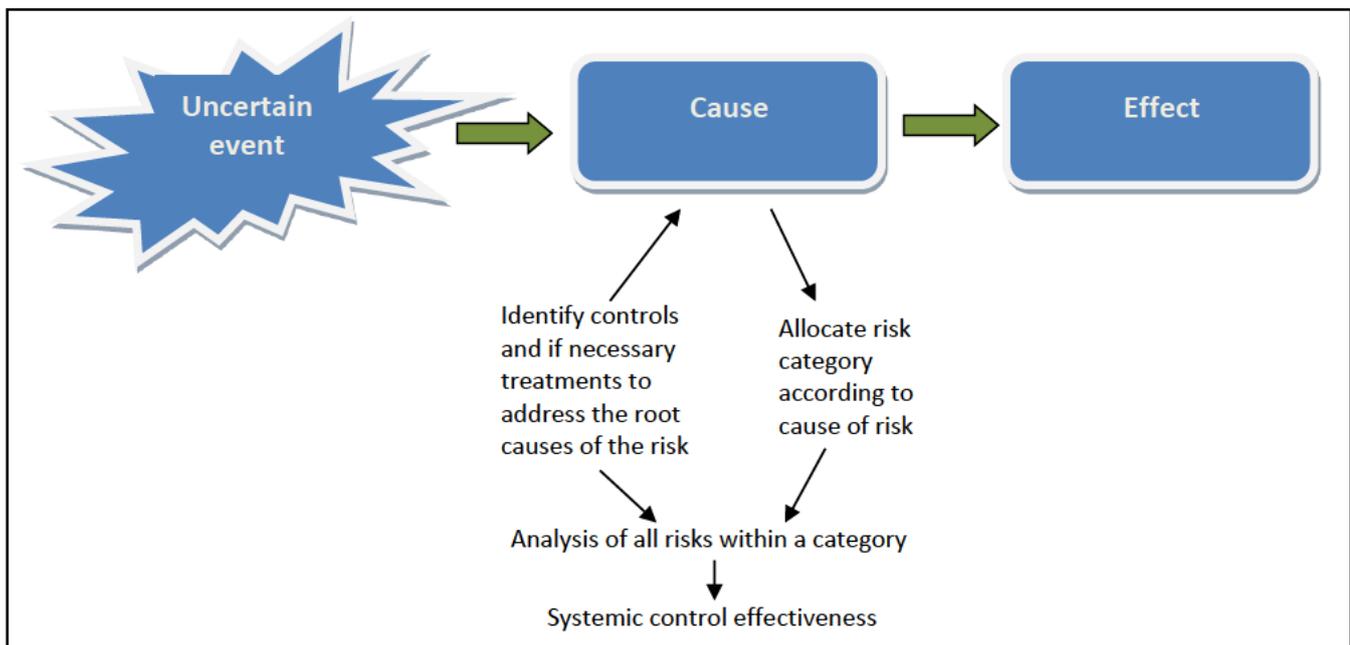


To meet this challenge the Trust uses **risk categories**. Risk categories provide another structured and manageable overview of the risks facing us.

Risk categories are based on the **cause** of the risk. Grouping risks this way helps us understand:

- where the largest risk exposure originates from
- what the aggregated risk is in relation to risk appetite and risk tolerance.
- the effectiveness of the Trust’s systems of controls.

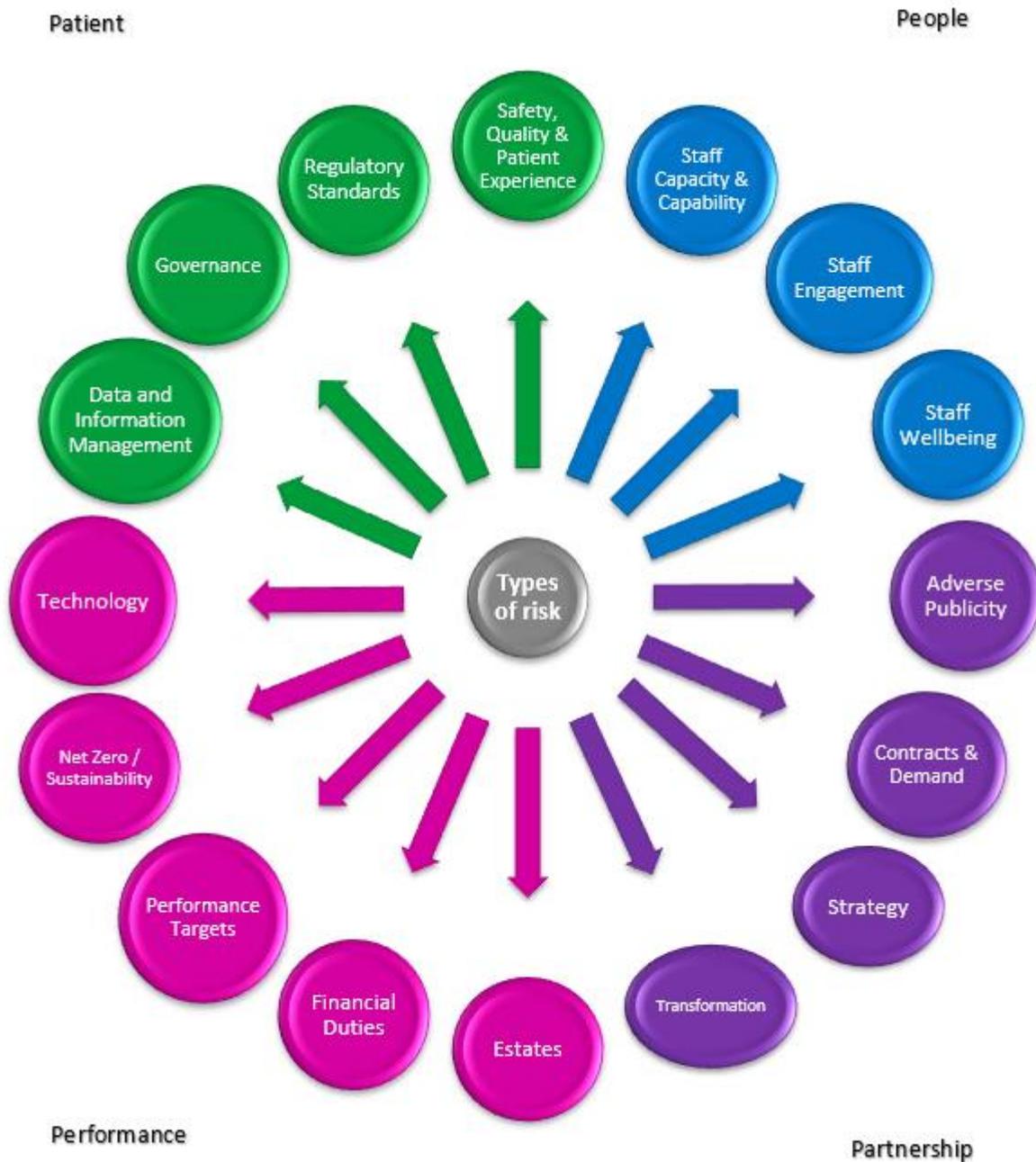
Figure 1: Risk cause as the basis for risk categorisation



How do I know which risk category to use?

The trust has identified 'Board Risks' and 'Corporate Risks' as the two main 'Risk Types' and then funnels down into 13 'Risk Subtypes' (Figure 2).

Figure 2: WWL risk subtypes



When allocating a risk to a risk subtype and recording it in the risk register, it is important to:

- use your best judgment as to the appropriate category
- allocate each risk to only one category

Risk Assessment

Aim of this risk guide

This risk guide aims to help staff members engaged in planning and risk management activities to understand the:

- steps and decisions involved in conducting a risk assessment, and
- their importance areas to consider when conducting risk assessments.

What are the steps and decisions involved in conducting a risk assessment?

There are three steps in assessing a risk:

Risk identification – process of finding, recognising, describing and categorising risks.

Risk analysis – process to comprehend the nature of the risk and determine the level of risk exposure.

Risk evaluation – process to determine if the risk level is acceptable or whether a risk requires further treatment.

For further information on risk identification, please refer to the following risk guides:

Risk Guide 1: Risk Identification

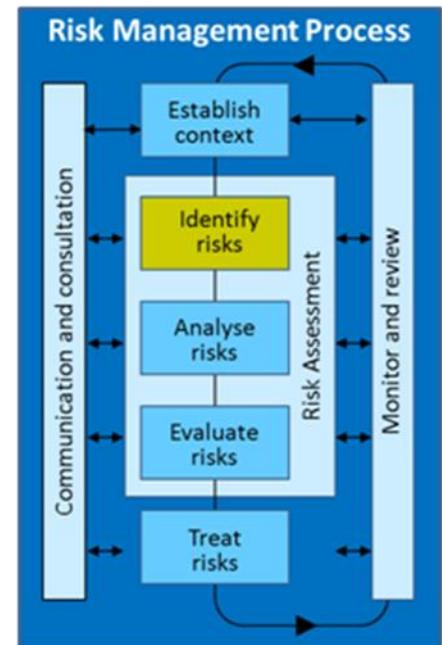
Risk Guide 2: Risk versus Issue

Risk Guide 3: Risk Statements

Risk Guide 4: Risk Categories

Figure 1 demonstrates the decisions required when identifying, analysing, evaluating and treating a risk. The goal is to modify the level of risk using controls and, if necessary, treatments by reducing the likelihood of the risk occurring and/or impact of the risk should it occur. By doing so, we minimise or eliminate the potential impact the risk may pose to the achievement of our objectives.

Controls are organisational strategies and processes we already have in place to modify a risk, for example, existing policies, procedures, practices. **Treatments** are additional strategies to modify the risk, often specific to the risk. For more information on controls and treatments, please refer to *Risk Guide 6: Controls and Treatments*.



The level of risk is determined using:

Calculating the Likelihood (probability) of the uncertain event occurring:

Level	Descriptor	Likelihood frequency	Likelihood probability
1	Rare	Not expected to occur in years	May only occur in exceptional circumstances
2	Unlikely	Expected to occur at least annually	Unlikely to occur
3	Possible	Expected to occur at least monthly	Reasonable chance of occurring
4	Likely	Expected to occur at least weekly	Likely to occur
5	Certain	Expected to occur at least daily	More likely to occur

Calculating the Impact on the achievement of objectives:

Level	Descriptor
1	Insignificant
2	Minor
3	Moderate
4	Major
5	Critical

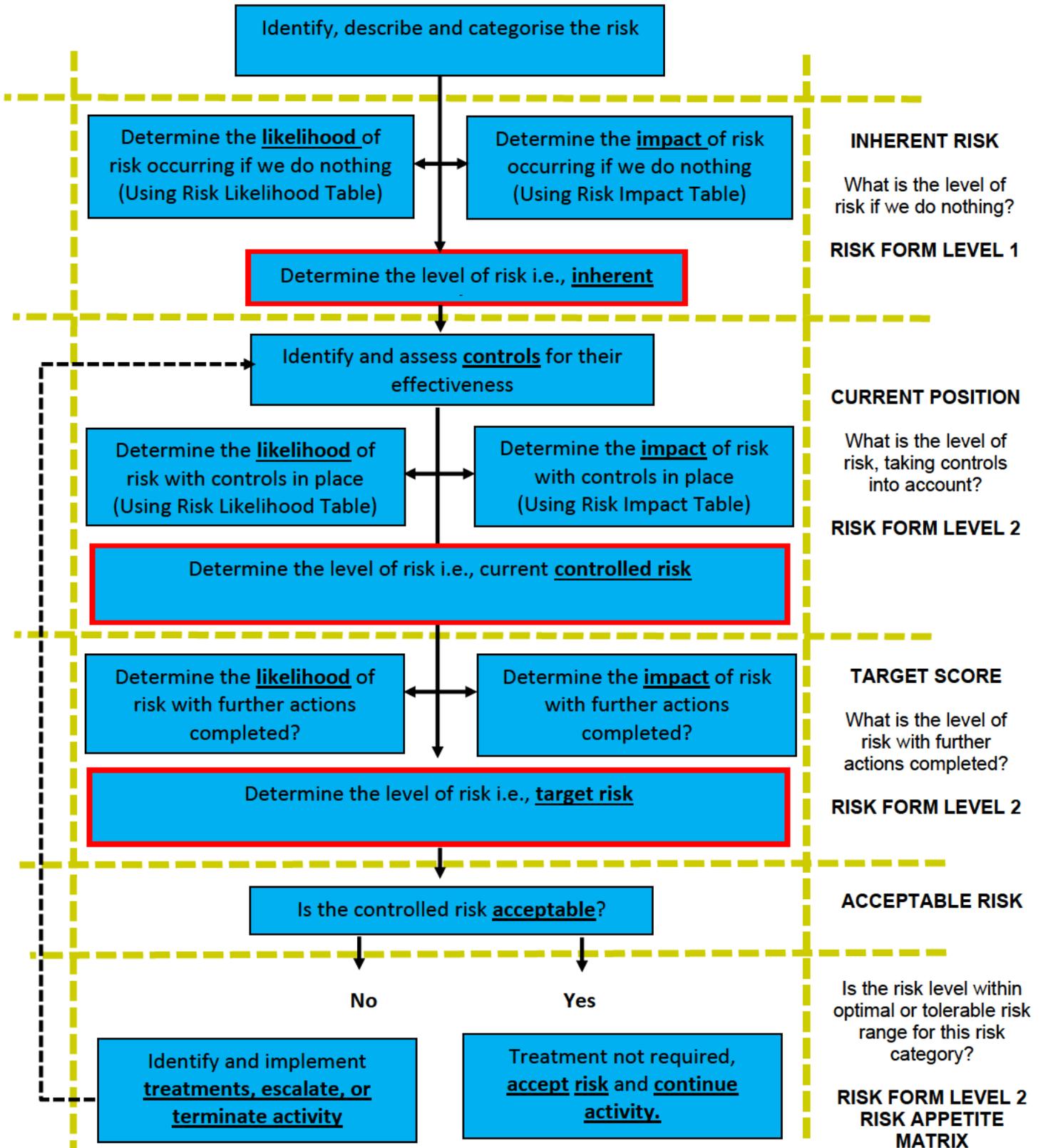
Calculating the overall Risk Level

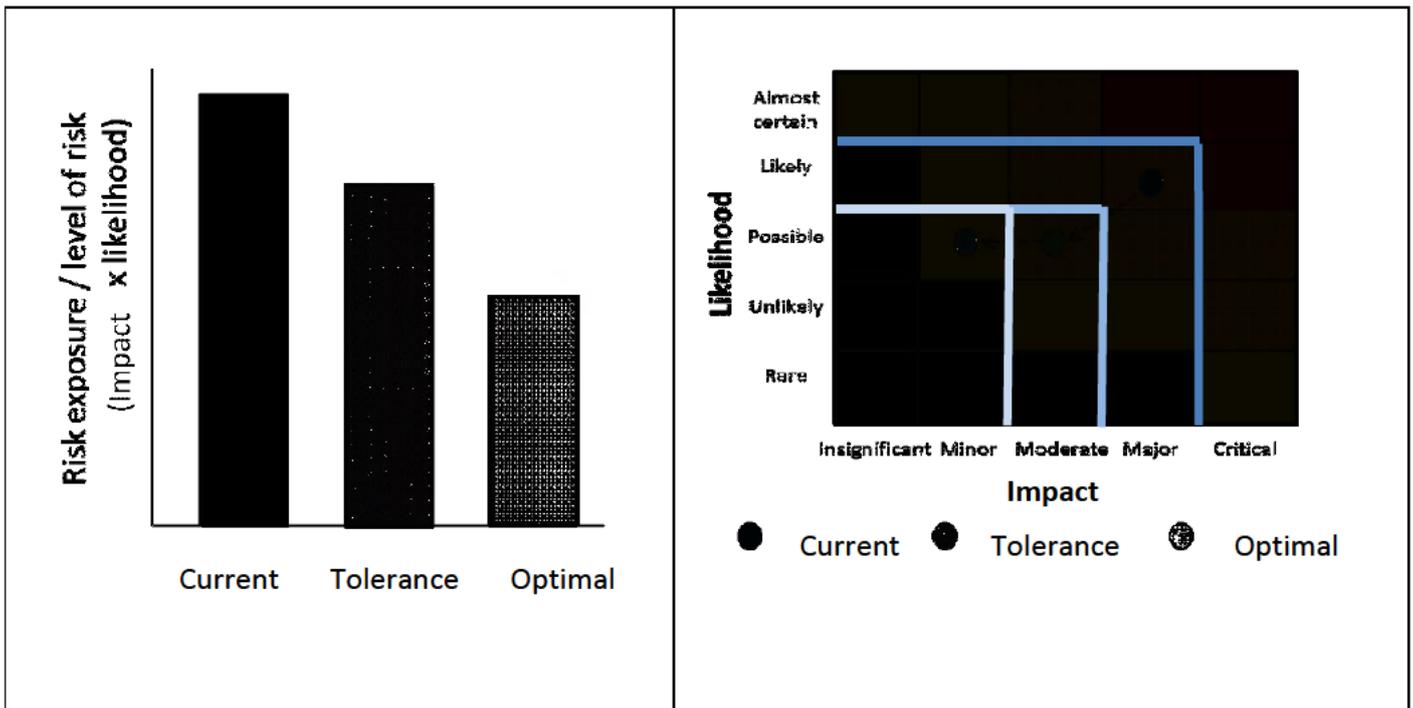
		Impact:				
		Insignificant	Minor	Moderate	Major	Critical
Likelihood:		1	2	3	4	5
Certain	5	5 x 1 = 5 Moderate	5 x 2 = 10 High	5 x 3 = 15 Extreme	5 x 4 = 20 Extreme	5 x 5 = 25 Extreme
Likely	4	4 x 1 = 4 Moderate	4 x 2 = 8 High	4 x 3 = 12 High	4 x 4 = 16 Extreme	4 x 5 = 20 Extreme
Possible	3	3 x 1 = 3 Low	3 x 2 = 6 Moderate	3 x 3 = 9 High	3 x 4 = 12 High	3 x 5 = 15 Extreme
Unlikely	2	2 x 1 = 2 Low	2 x 2 = 4 Moderate	2 x 3 = 6 Moderate	2 x 4 = 8 High	2 x 5 = 10 High
Rare	1	1 x 1 = 1 Low	1 x 2 = 2 Low	1 x 3 = 3 Low	1 x 4 = 4 Moderate	1 x 5 = 5 Moderate

Risk Score	Risk Rating	Review timescale
1 to 3	Low Risk	Annually
4 to 6	Moderate Risk	Every six months
8 to 12	High Risk	Every three months
15 to 25	Extreme Risk	Every month

It is important that risks are assessed using these tables. This helps to assess and report risks across the trust on a consistent basis to better manage risks and make informed decisions about the achievement of our objectives. Risks scoring 15 or above are escalated to the RMC meeting and considered by the Board for inclusion on the BAF. The Trust's willingness to accept a risk at tolerance/and or risk appetite level will depend on which of the corporate objectives is at risk and the positive or negative impact that the risk would have on objectives, should it materialise. Therefore, the risk evaluation referred to above must be completed by staff with sufficient knowledge and authority.

Figure 1: Decisions within the risk identification, analysis, and evaluation and treatment steps.





It can also be seen from Figure 1 that the decision process determines the level of risk in 3 stages:

- 1) The **current risk position** is the risk level at which the trust is **currently** operating.
- 2) The **optimal risk position** is the level of risk with which the trust **aims** to operate.
- 3) **Risk tolerance** is the level of risk with which the trust is **willing** to operate, given current constraints.

Figure 2 demonstrates that, for a risk which presents a threat, further treatments are required to decrease our risk levels to within our tolerance and/optimal risk levels. For a risk which presents an opportunity, our risk appetite may be bigger than the risk tolerance as we may be aiming to take the opportunity beyond what we would normally tolerate.

Figure 2: Modifying the risk level

The current score corresponds to the actual exposure to the Trust. Depending on our **risk tolerance** (i.e., the amount of risk we are prepared to withstand), we can continue the activity with appropriate management actions, escalate the risk to the Risk Management Committee or terminate the activity.

The current risk score derived from the Risk Matrix also provides us with a basis for **risk prioritisation**. This helps us with the allocation of resources to manage our risks. Risks that fall outside the Trust's risk tolerance and appetite levels are those that pose the most effect on our ability to achieve our objectives.

Why is it important to conduct each of the risk assessment steps?

Once a risk is identified, it is tempting to go straight to the step of identifying treatments and not analyse and evaluate the risk.

By doing so, we may be increasing our exposure to risk by not have an understanding of:

- any changes our environment may have on our exposure to risk
- our risk exposure if controls fail
- whether our controls are effective or not and require strengthening
- whether our treatments are effective or not and require amending.

If the current risk score is already within tolerance, we may also be wasting our resources by maintaining controls and putting treatments in place unnecessarily. It may not be necessary to put further treatments in place but monitor and periodically review the risk to ensure it remains acceptable.

Areas to consider when conducting risk assessments

Risk assessments are conducted when new and emerging risks are identified, as well as during ongoing monitoring and periodic review of existing risks.

The following likelihood scores table (1) informs the scoring of the probability of the uncertain event occurring: -

Patients

Our ambition is to be widely recognised for delivering safe, personalised, and compassionate care, leading to excellent outcomes and patient experience

Impact Score	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Critical
Risk Category					
Safety, Quality of Services & Patient Experience	<p>Minimal impact on achieving objectives linked to safety, quality & patient experience.</p> <p>Minimal injury requiring no/minimal intervention or treatment.</p>	<p>Minor impact on achieving objectives linked to safety, quality & patient experience.</p> <p>Minor injury or illness requiring minor intervention.</p>	<p>Moderate impact on achieving objectives linked to safety, quality & patient experience.</p> <p>Moderate injury requiring professional intervention.</p>	<p>Major impact on achieving objectives linked to safety, quality & patient experience.</p> <p>Major injury leading to long term incapacity/disability.</p>	<p>Critical impact on achieving objectives linked to safety, quality & patient experience.</p> <p>Death/life threatening harm.</p>
Data & Information Management	<p>Minimal impact on achieving objectives linked to data and information management.</p> <p>No loss of breach/loss/compromised security of information, containing confidential information, person identifiable data or business critical data.</p>	<p>Minor impact on achieving objectives linked to data and information management.</p> <p>Minor risk of breach/loss/compromised security of information, containing confidential information, person identifiable data or business critical data.</p>	<p>Moderate impact on achieving objectives linked to data and information management.</p> <p>Moderate risk of breach/loss/compromised security of information, containing confidential information, person identifiable data or business critical data.</p> <p>Moderate risk of inappropriate access resulting in a high risks to the rights and freedoms of individuals</p> <p>Moderate impact on patients resulting harm</p>	<p>Major impact on achieving objectives linked to data and information management.</p> <p>Major risk of breach/loss/compromised security of information, containing confidential information, person identifiable data or business critical data.</p> <p>Major risk of inappropriate access resulting in a high risks to the rights and freedoms of individuals</p> <p>Significant impact on patients resulting harm.</p>	<p>Critical impact on achieving objectives linked to data and information management.</p> <p>Critical risk of breach/loss/compromised security of information, containing confidential information, person identifiable data or business critical data.</p> <p>Critical risk of inappropriate access resulting in a high risks to the rights and freedoms of multiple individuals</p> <p>Catastrophic impact on patients contributing to harm to multiple patients or death of a patient(s).</p>
Governance and Regulatory Standards	<p>Minimal impact on achieving objectives linked to regulatory standards.</p> <p>No or minimal impact or breach of guidance/statutory duty</p>	<p>Minor impact on achieving objectives linked to regulatory standards.</p> <p>Breach of statutory legislation Reduced performance rating if unresolved</p>	<p>Moderate impact on achieving objectives linked to regulatory standards.</p> <p>Single breach in statutory duty Challenging external recommendations/ improvement notice</p>	<p>Major impact on achieving objectives linked to regulatory standards.</p> <p>Enforcement action Multiple breaches in statutory duty Improvement notices Low performance rating Critical report</p>	<p>Critical impact on achieving objectives linked to regulatory standards.</p> <p>Multiple breaches in statutory duty Prosecution Complete system change required Zero performance rating Severely critical report</p>

People

To create an inclusive and people-centred experience at work that enables our WWL family to flourish

Impact Score	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Critical
Risk Category					
Staff Capacity & Capability	Minimal impact on achieving objectives linked to Staff Capacity & Capability. Short-term low staffing levels or competence that temporarily reduces service quality	Minor impact on achieving objectives linked to Staff Capacity & Capability. Low staffing levels or competence that reduce the service quality leading to minor errors.	Moderate impact on achieving objectives linked to Staff Capacity & Capability. Unsafe staffing levels or competence leading to moderate errors.	Major impact on achieving objectives linked to Staff Capacity & Capability. Unsafe staffing levels or competence Loss of key staff leading to serious errors.	Critical impact on achieving objectives linked to Staff Capacity & Capability. Constant ongoing unsafe staffing levels or competence Loss of several key Staff leading to critical errors.
Staff Engagement	Minimal impact on achieving objectives linked to staff engagement. Staff engagement not affected.	Minor impact on achieving objectives linked to staff engagement. A small number of staff are not involved in staff engagement.	Moderate impact on achieving objectives linked to staff engagement. Some staff are not involved in staff engagement.	Major impact on achieving objectives linked to staff engagement. Most staff are not involved in staff engagement.	Critical impact on achieving objectives linked to staff engagement. Catastrophic failure in Staff engagement.
Staff Wellbeing	Minimal impact on achieving objectives linked to staff wellbeing. Very low levels of staff sickness absence, injury or reported presenteeism	Minor impact on achieving objectives linked to staff wellbeing. Low levels of staff sickness absence, injury or reported presenteeism	Moderate impact on achieving objectives linked to staff wellbeing. Moderate levels of staff sickness absence, injury or reported presenteeism. Possibility of increased hospital or social care treatment and possible RIDDOR incidents	Major impact on achieving objectives linked to staff wellbeing. High levels of sickness absence, major injury or mental health issue requiring long term treatment and intervention. Post-traumatic stress disorder	Critical impact on achieving objectives linked to staff wellbeing. Very high levels of sickness absence, death, life-threatening injury, illness or harm

Performance

Our ambition is to consistently deliver efficient, effective, and equitable patient care

Impact Score	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Critical
Risk Category					
Estates	Minimal impact on achieving objectives linked to Estates Management. No impact on premises.	Minor impact on achieving objectives linked to Estates Management. Minor disruption to premises.	Moderate impact on achieving objectives linked to Estates Management. Partial closure of premises	Major impact on achieving objectives linked to Estates Management. Temporary closure of premises	Critical impact on achieving objectives linked to Estates Management. Loss of premises
Financial Duties	Minimal impact on achieving objectives linked to financial duties.	Minor impact on achieving objectives linked to financial duties.	Moderate impact on achieving objectives linked to financial duties.	Major impact on achieving objectives linked to financial duties.	Critical impact on achieving objectives linked to financial duties.

Performance Targets	Minimal impact on achieving objectives linked to performance targets. No targets missed.	Minor impact on achieving objectives linked to performance targets. Minor delay in achieving target.	Moderate impact on achieving objectives linked to performance targets. Target missed but not creating concern.	Major impact on achieving objectives linked to performance targets. Target missed creating local concern.	Critical impact on achieving objectives linked to performance targets. Target missed creating national concern.
Sustainability / Net Zero	Minimal impact on achieving objectives linked to sustainability/ net zero. Minimal or no impact on the environment	Minor impact on achieving objectives linked to sustainability/ net zero. Minor impact on Environment (such as contained small spillage).	Moderate impact on achieving objectives linked to sustainability/ net zero. Moderate impact on environment (leading to partial closure of area of building)	Major impact on achieving objectives linked to sustainability/ net zero. Major impact on Environment (leading to ward closure).	Critical impact on achieving objectives linked to sustainability/ net zero. Catastrophic impact on environment (leading to site closure, off site impact)
Technology	Minimal impact on achieving objectives linked to technology. No digital issues.	Minor impact on achieving objectives linked to technology. Minor impact on digital systems, impacting on the Trusts ability to deliver care.	Moderate impact on achieving objectives linked to technology. Moderate impact on digital systems, impacting on the Trusts ability to deliver care.	Major impact on achieving objectives linked to technology. Major impact on digital systems, impacting on the Trusts ability to deliver care.	Critical impact on achieving objectives linked to technology. Catastrophic impact on digital systems, impacting on the Trusts ability to deliver safe care .

Partnerships To improve the lives of our community, working with our partners across the Wigan Borough and Greater Manchester

Impact Score	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Critical
Risk Category					
Adverse Publicity	Minimal impact on achieving objectives linked to adverse publicity. Rumours No public/political concern	Minor impact on achieving objectives linked to adverse publicity. Local media interest, short-term reduction in public confidence Local public/political Concern	Moderate impact on achieving objectives linked to adverse publicity. Local media interest, reduction in public confidence	Major impact on achieving objectives linked to adverse publicity. Regional/national media interest with <1 day service well below reasonable public expectation	Critical impact on achieving objectives linked to adverse publicity. National media interest with >1 day service well below reasonable public expectation
Contracts & demands	Minimal impact on achieving objectives linked to contracts and demands. Able to meet all demands, no breach of contract.	Minor impact on achieving objectives linked to contracts and demands Able to meet most demands, no impact on contract.	Moderate impact on achieving objectives linked to contracts and demands. Unable to meet a moderate number of demands, no impact on contract.	Major impact on achieving objectives linked to contracts and demands Unable to meet most demands, contract being negotiated.	Critical impact on achieving objectives linked to contracts and demands. Unable to meet demands leading to loss of contract.
Strategy	Minimal impact on achieving objectives linked to strategy.	Minor impact on achieving objectives linked to strategy.	Moderate impact on achieving objectives linked to strategy.	Major impact on achieving objectives linked to strategy.	Critical impact on achieving objectives linked to strategy.
Transformation	Minimal impact on achieving objectives linked to transformation. Temporary defects causing minor short term consequences to time and quality	Minor impact on achieving objectives linked to transformation. Poor project performance shortfall in area(s) of minor importance	Moderate impact on achieving objectives linked to transformation. Poor project performance in area(s) of secondary importance	Major impact on achieving objectives linked to transformation. Poor performance in area(s) of critical or primary purpose	Critical impact on achieving objectives linked to transformation. Significant failure of the project to meet its critical or primary purpose

Table 2

Risk Controls and Treatments

Aim of this risk guide

This risk guide aims to help staff members engaged in planning and risk management activities to understand:

- the difference between controls and treatments
- how to evaluate controls
- how to treat risks.

What is the difference between controls and treatments?

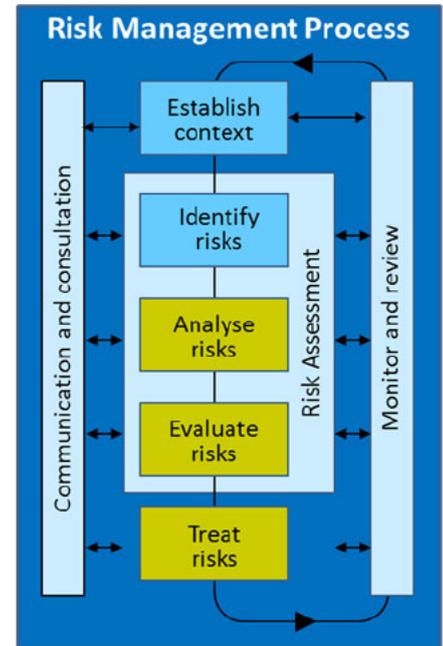
The formal definitions of a control and treatment are²:

- **controls** are measures that modify risk
- **treatment** is a process to modify risk.

Both controls and treatments:

- are designed to modify the risk by reducing the likelihood of negative risks occurring and/or reducing the consequence of negative risks should they occur (or, conversely, increasing likelihood and consequence of positive risks)
- are targeted to address the root cause of the risk
- may not always exert the intended effect in modifying the risk.

The difference lies in whether they are established at the time of the risk assessment, for example:



Controls	Treatments
<ul style="list-style-type: none"> • Existing strategies and processes currently in place such as systems, policies, procedures, standard business processes, practices. • Some examples of controls include policies, financial management, media and public relations procedures and health, safety and security arrangements. • A risk may have more than one control. 	<ul style="list-style-type: none"> • Additional strategies/activities we need to develop and implement should the risk level be unacceptable after controls are applied. • Should a control be assessed as ineffective or where there are control gaps to modify the risk, a treatment plan may include strengthening the controls or developing new controls. • Generally, treatments are specific to a risk. • A treatment only becomes a control after it has been fully implemented and deemed effective in modifying the risk to an acceptable level.

² ISO 31000:2018 Risk management –guidelines

Risk Assurances

The Risk Assurance section within the Datix risk record should be used to record the local governance arrangements in place to ensure that a risk record and is maintained and reviewed. The Sources of Assurances should be recorded in line with the three-line defence model described in the Risk Management Process SOP – section 6. Any gaps in assurances should be recorded on the Datix risk record. Planned treatments to address the gaps in assurances should be recorded via the actions section in the Datix risk record. Assurances may include: -

- Reviews at meetings, groups and committees
- Audits and inspections
- Documents e.g., emails, work plans, reports, receipts

How to evaluate controls

Each control needs to be evaluated to ensure that it is effective, reliable and being applied. When controls are working effectively and as intended, they will reduce the risk level. Too many controls or controls that are too stringent may hamper service delivery (through 'red tape') and/or waste resources.

To evaluate a control, consider factors such as:

- Is the control 'fit for purpose'?
- Does the control work as practically as it is intended?
- Is the control relevant?
- Is the control documented?
- Is the control being used?
- Is the control up to date?

If an existing control is ineffective, then improvement to the control should be included in the treatment plan.

How to treat risks

Each unacceptable risk will have treatments. Risk treatment involves identifying the options for treating the risk, assessing those options, preparing risk treatment plans, and implementing them. Treatments include:

Response	Description
Terminate the Risk	A risk maybe outside the trust's risk appetite or tolerance and the trust does not have the ability to introduce additional controls to reduce likelihood and/or impact of the risk therefore there is no other option than to terminate the activity generating the risk.
Treat the Risk	Risks need additional treatments (controls) to reduce the likelihood and/or impact levels. This response is most likely where the risk has been identified as a high risk due to the likelihood and impact levels and the trust can introduce

	further controls that will reduce the likelihood and/or the impact of a risk.
Transfer the Risk	Risks are shared (e.g., through an insurer). Some service delivery risks can also be transferred to a partner or contractor by way of a formal contract or written agreement. Some aspects of risk however cannot be transferred, for example those that have a reputational impact.
Tolerate the Risk	Retaining the risk by informed decision. The controls in place reduce the likelihood and impact levels to an acceptable level (within appetite or tolerance) the introduction of additional controls would be cost-benefit prohibitive. It is therefore decided to <i>tolerate</i> the risk.
Take the opportunity	Taking or increasing the risk to pursue an opportunity.

The following should be considered when evaluating treatment options:

- How will the treatment modify the level of risk? Compare the proposed risk appetite and tolerance scores against the controlled risk score.
- How do costs balance out against benefits? Financial risk costs of treatments should be recorded in the Datix risk record where appropriate.
- How compatible is the treatment with the overall Divisional objectives?
- Does it comply with legislation?
- Does it introduce new or secondary risks?

Planned treatments should be recorded via the actions section in the relevant Datix risk register record.

Components of an action plan may include:

- proposed action
- resource requirements
- responsibility
- timing
- performance measures
- reporting and monitoring requirements.

On a final note, the trust has limited or no control over some risks such as natural disasters, the effect of international financial markets, terrorism and pandemic illnesses. The only action we can take is to plan and prepare for such events through our Emergency Preparedness, Resilience and Response Plans.

Risk Appetite and Tolerance

Aim of this risk guide

This risk guide aims to help staff members engaged in planning and risk management activities to understand the difference between risk appetite and risk tolerance

What is risk appetite?

Risk appetite is defined as the level of risk with which the trust **aims** to operate (the optimal risk position). Too great a risk appetite can jeopardise a project or activity whilst too little could result in lost opportunity.

What is risk tolerance?

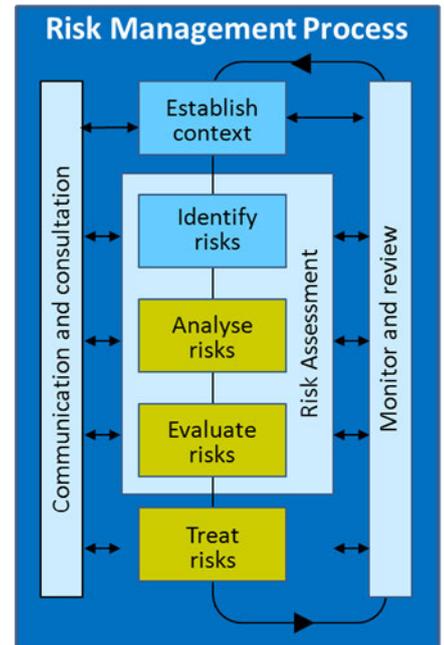
Risk tolerance is the level of risk with which the trust is **willing** to operate, given current constraints. This balances the current position with the risk appetite position outlined in organisational mission and objectives.

Who determines the trust's risk appetite?

The risk appetite statement for achievement of each of the trust's principal objectives is set by the board on an annual basis. The Government's Orange Book – Management of Risk, Principles and Concepts (2019) advises 'the Board should determine and continuously assess the nature and extent of the principal risks that the organisation is exposed to and is willing to take to achieve its objectives – **its risk appetite** – and ensure that planning and decision-making reflects this assessment. Effective risk management should support informed decision-making in line with this risk appetite, ensure confidence in the response to risks, transparency over the principal risks faced and how these are managed'.

How is risk appetite expressed?

Our risk appetite position for threats and opportunities is summarised in the following table:



Risk category and link to principal objective	Threat		Opportunity	
	Optimal	Tolerable	Optimal	Tolerable
Safety, quality of services and patient experience	≤ 3 Minimal	4 - 6 Minimal	≤ 6 Cautious	≤ 8 Cautious
Data and information management	≤ 3 Minimal	4 - 6 Minimal	≤ 6 Cautious	≤ 8 Cautious
Governance and regulatory standards	≤ 3 Minimal	4 - 6 Minimal	≤ 6 Cautious	≤ 8 Cautious
Staff capacity and capability	≤ 6 Cautious	≤ 8 Cautious	≤ 8 Open	10 - 12 Open
Staff experience	≤ 6 Cautious	≤ 8 Cautious	≤ 16 Eager	≤ 12 Eager
Staff wellbeing	≤ 6 Cautious	≤ 8 Cautious	≤ 16 Eager	≤ 12 Eager
Estates management	≤ 6 Cautious	≤ 8 Cautious	≤ 8 Open	10 - 12 Open
Financial Duties	≤ 3 Minimal	4 - 6 Minimal	≤ 6 Cautious	≤ 8 Cautious
Performance Targets	≤ 6 Cautious	≤ 8 Cautious	≤ 8 Open	10 - 12 Open
Sustainability / Net Zero	≤ 6 Cautious	≤ 8 Cautious	≤ 8 Open	10 - 12 Open
Technology	≤ 6 Cautious	≤ 8 Cautious	≤ 8 Open	10 - 12 Open
Adverse publicity	≤ 3 Minimal	4 - 6 Minimal	≤ 6 Cautious	≤ 8 Cautious
Contracts and demands	≤ 3 Minimal	4 - 6 Minimal	≤ 6 Cautious	≤ 8 Cautious
Strategy	≤ 6 Cautious	≤ 8 Cautious	≤ 8 Open	10 - 12 Open
Transformation	≤ 6 Cautious	≤ 8 Cautious	≤ 16 Eager	≤ 12 Eager

For each risk category, a risk appetite has been set based on whether the risk poses a threat or an opportunity. Detail on the optimal and tolerable risk scores is also provided to guide risk owners in their decision-making.

The scores shown in the matrix above provide guidance to risk owners as to the optimum and tolerable score for each individual risk. More specific definitions for each of these is included in appendices 1 and 2.

In line with recommended practice, a one-word description of our risk appetite has also been provided using the scale below:

Least risk		← →		Most risk	
Averse	Minimal	Cautious	Open	Eager	

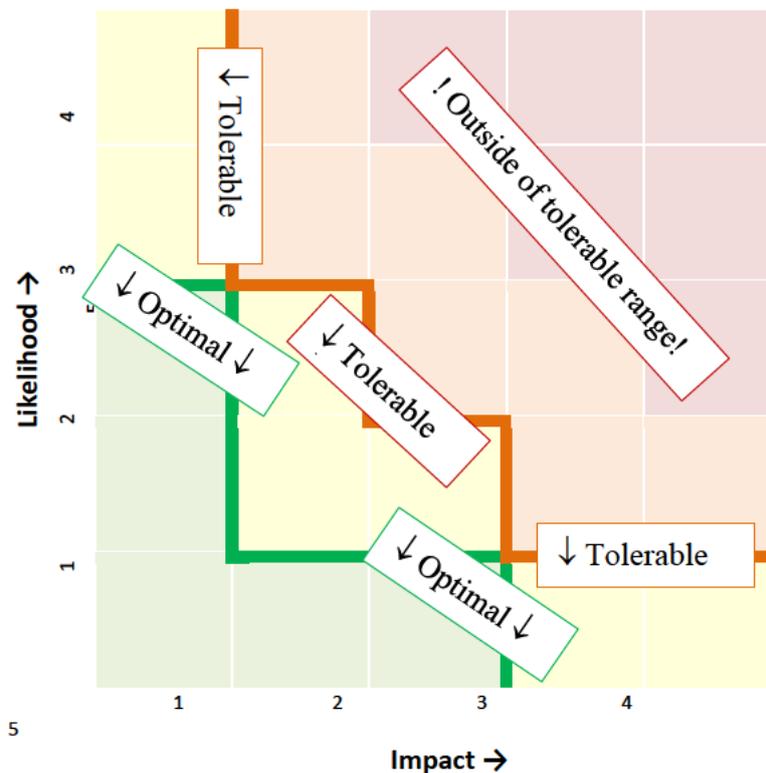
This approach allows us to consider risks to each principal objective holistically as well as specifically considering each individual risk.

A holistic view

Using the 'patients' principal objective as an example, the high-level risk appetite matrix above sets the holistic threat risk appetite as 'minimal' and the holistic opportunity risk appetite as 'cautious'. The table below shows how this maps across in terms of risk scores at an aggregated level:

	Averse	Minimal	Cautious	Open	Eager
Aggregated optimal position	1	≤3	≤6	≤8	≤16
Aggregated tolerable position	2-3	4-6	8	10-12	>12

We can then apply this holistic approach to map acceptable parameters onto the heatmap. Anything left of the orange line is tolerable, and anything left of the green line is optimal.



Further information

Risk Guide 5 – Risk Assessment provides further information regarding risk identification, analysis and evaluation including calculating the current, risk appetite and risk tolerance scores.

Run a Risk Report

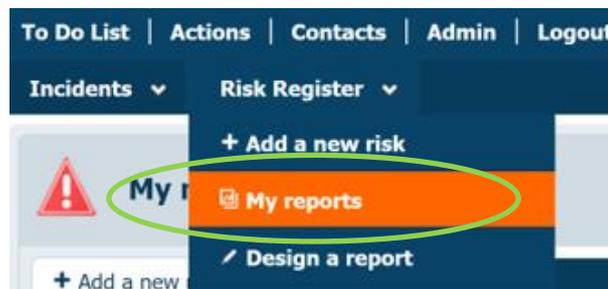
Aim of this risk guide

This fact sheet aims to help staff members engaged in planning and risk management activities to:

- Run a Risk Report for their Division

How to run a report

1. Log in Datix and select 'My reports' from the Risk register drop down menu



2. Click '[Export]' next to Risk Register Template

Name ↑	Created By	Created Date	
Risk Register Template	Mr John Harrop	15/06/2021 18:31:46	[Export] [edit] [delete]

3. Select the Divisions which you would like to view from the Division drop-down list.
4. Select the required Risk level (current) from the drop-down list.

To view all risks within the selected Division, leave the Risk level (current) box blank.

 A screenshot of the 'Export' dialog box in the application. The dialog has a title bar with 'Export' and a close button '[x]'. It is divided into two sections: '@prompt options:' and 'Options:'. Under '@prompt options:', there are two dropdown menus: 'Division' and 'Risk level (current)'. Under 'Options:', there are radio buttons for 'PDF', 'Excel' (selected and circled in green), and 'Raw data (CSV)'. Below these are radio buttons for 'Portrait' and 'Landscape', and a 'Paper size:' dropdown menu set to 'A4'. At the bottom of the dialog, there are two buttons: 'Continue' (circled in green) and 'Cancel'.

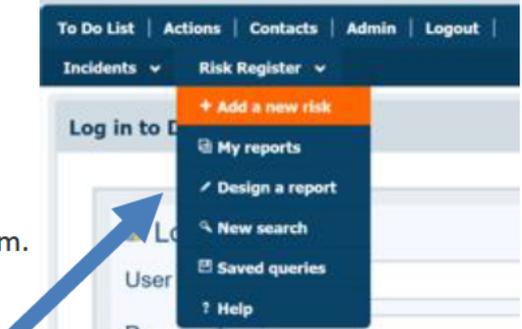
5. Under 'Options:' select 'Excel' radio button and then click 'Continue' and this will open your spreadsheet in Excel.

Frequently Asked Questions

Who can enter a risk on Datix?

Any member of staff can enter a risk on the Datix Risk Register.

- If you don't have a Datix account then you can use the RISK1 Form. Click on the following link [Datix: Datix Risk Form Level 1](#)
- If you are logged in Datix, click on Risk Register, Add a new risk.



What type of risks should be entered on the risk register?

- Potential opportunities and threats which arise from the objectives within your Divisional Business Plans, Project Plans, Tenders, Workforce Plans and Sub Committee Plans.
- Local safety related risks which score 8 and above. Safety risks scoring less than 8 should be recorded on the appropriate health and safety risk assessment.
- Trust wide risks which may originate from within your Department, but have a wider impact on other Departments, Divisions or across the Trust.

How can I view risks on the risk register?

- Access to the risk register depends on the level of detail entered in the 'Risk Location' field on the risk form and the access settings for the user's profile. Users must have a Datix login to view risks.

Risk Location		
Site	Directors / Assistant Directors / Heads of Departments / Senior Managers Profile	<input type="text"/>
Trust		<input type="text"/>
Division		<input type="text"/>
Div/Directorate		<input type="text"/>
Specialty		<input type="text"/>
Location (type)	Ward/Location Managers Profile	<input type="text"/>
Location (exact)		<input type="text"/>

Blue arrows point from the 'Division' and 'Location (type)' fields to their respective dropdown menus.

- The Senior Manager will see the risk if the Division field is completed.
- The Ward/Location Manager will see the risk if the Location field is also completed.

How do I view the complete risk register for my Location?

- Click on new search. Enter your Ward/Dept in the 'Location' field. Select 'Open Approved Risks' in the 'Approval Status' field, then click 'Search'. This will show all the open risks for your Ward/Dept.
- To view your risk register in an excel spreadsheet, log in to Datix and select 'My reports' from the Risk register drop down menu. Click '[Export]' next to Risk Register Template. See Risk Guide 02 for info.

Who approves risks entered on the risk register?

Statuses	
■ New Risks Under Review	When a new risk is submitted a notification email is automatically sent to Datix users within the risk location.
■ Awaiting Approval	Newly submitted RISK1 forms sit in new risks under review.
■ Open Approved Risks	The Risk Lead should review the risk, fill in the detail on the RISK2 form and change the drop down to Awaiting Approval.
■ Open Board Risks	The appropriate Governance Lead will check the risk record, gain approval from the Divisional Risk Group and move the risk to Open Approved Risks.
■ Closed Approved Risks	The Risk Lead should email the Governance Lead within Datix when the risk is ready to be closed. The Governance Lead will close the risk.
■ Rejected	The Risk Lead can reject a submitted risk if it is not substantiated or a duplicate risk.

How can I find out more about Risk Registers?

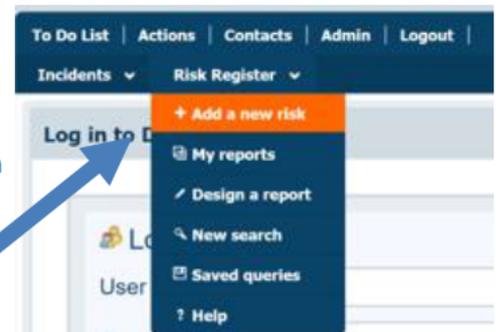
- Book on a Risk Register Workshop
- Contact the Head of Risk [REDACTED]

How to add a risk on the risk register – RISK1

Add a new risk

Any member of staff can enter a risk on the Datix Risk Register.

- If you don't have a Datix account, then you can use the RISK1 Form
- Click on the following link [Datix: Datix Risk Form Level 1](#)
- If you are logged in Datix, click on Risk Register, Add a new risk.



Risk Description

Type of Risk: Use the drop-down list to select Board Assurance Framework (BAF) Risk or Corporate Risk. BAF risks are for Board level risks which impact on achieving strategic objectives. Corporate risks are all other risks which have an impact on achieving corporate/local objectives.

Risk Description	
Type of Risk	Corporate Risk 

Title: Write a short headline title which summarises the focus of the risk. e.g., Waiting times in x clinic. There is a word limit is 125.

Title	<input type="text"/>
-------	----------------------

Risk Description: Provide details about the risk – what is the uncertain event which may happen, what is the cause and how may it impact on the trust? This information will be used to formulate a risk statement on the RISK2 Form and will provide supporting information. There is no word limit.

* Risk Description	<input type="text"/>
--------------------	----------------------

Date Opened: Click on the white box next to 'Date opened (dd/MM/yyyy)' and record the date when the risk was entered on the Datix Risk Register.

* Date opened (dd/MM/yyyy)	<input type="text" value="31/08/2021"/>
----------------------------	---

Trust wide Risk: Use the drop-down list to select whether the risk has an impact outside of the Division which it originated – Yes/No.

Principal Objective: Use the drop-down list to select the principal objective which is most relevant to the risk: Patients, People, Performance or Partnerships.

Risk Category: Use the drop-down list to select the risk category which is most relevant to the risk. A full list of risk categories is detailed in Risk Guide 04.

Trust wide Risk	<input type="text"/>
Principal objectives	<input type="text"/>
Risk Category	<input type="text"/>
Risk Lead	<input type="text"/>

Risk Location

Risk Location	
Trust	Wrightington, Wigan and Leigh Teaching Hospitals NHS Foundation Trust
Site	<input type="text"/>
* Division	<input type="text"/>
Div/Directorate	<input type="text"/>
Specialty	<input type="text"/>
Location (type)	<input type="text"/>
Location (exact)	<input type="text"/>

Trust: This field is pre-populated with WWL.

Site: Use the drop-down list to select relevant site where the risk originated from.

Division: Use the drop-down list to select relevant Division where the risk originated from.

Div/Directorate: Use the drop-down list to select relevant Div/Directorate where the risk originated from. This is a mandatory field.

Speciality: Use the drop-down list to select relevant Speciality where the risk originated from.

Risk rating

Current Risk Score: The current risk score field on RISK1 form should be the risk score without any control measures and assurances in place or if current control measures and assurances fail. This is also referred to as the inherent risk score. Consider the likelihood of the uncertain event happening and, if the event were to happen, what impact this would have on the trust achieving its objectives? Click on the appropriate radio button on the scoring chart to select the current risk score. *Risk Guide 05: Risk Assessment* provides guidance on risk scoring.

Submit: Click on the 'Submit' button the risk will move into the New Risks Under Review section on the risk register.

Radio button

Risk rating

★ Current

What is the likelihood of the uncertain event happening and, if it did happen, what impact would it have on achieving the trust's objectives?

Likelihood (current)	Consequence (current)				
	1	2	3	4	5
5	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
4	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
1	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Rating (current): Risk level (current):

Submit Cancel

How to complete a RISK2 form on the risk register

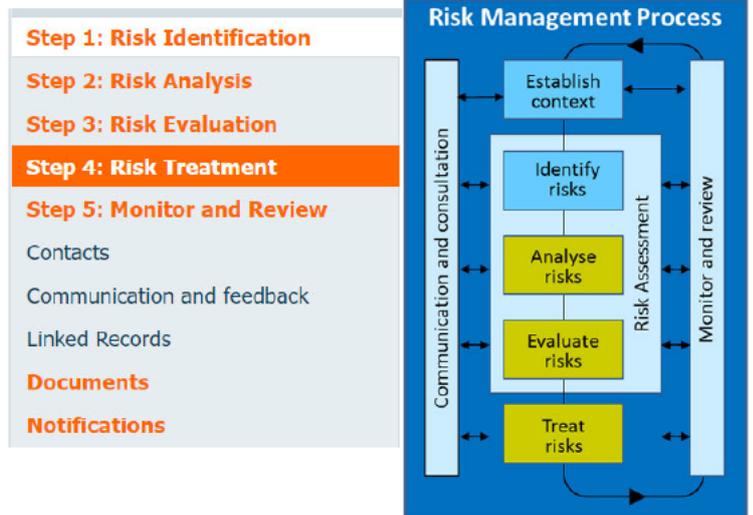
Left hand menu

Use the left-hand menu on the RISK2 form to navigate through the different steps of the risk management process and the supporting sections.

Some fields on the RISK2 form pull through information which was entered onto the RISK1 form.

The risk lead should review pre-populated fields and update this information as appropriate.

Datix keeps an audit trail of saved amendments to the form.



Step 1: Risk Identification

Risk Guide 01: Risk identification provides further guidance on sources to help identify risks. Risk Guide 02: Risk versus issue provides an explanation regarding the difference between a risk and an issue.

ID: Datix automatically generates a unique risk identification number for each risk record. This can be used as a reference number for the risk and to search for specific risk records.

Step 1: Risk Identification

ID

Current approval status: The current approval status is displayed for information. New risks submitted via the RISK1 form will be categorised as 'New Risks Under Review'. Please see Step 5: Monitor and Review regarding how to update the approval status of a risk. Please note that risks are not live on the Risk Register until they are moved to the 'Open Approved Risk' approval status.

Current approval status **New Risks Under Review**

Risk Title: Update title if required to briefly describe the topic of the risk record e.g., Staffing Pressures in X. There is a word limit is 125.

Risk Title

Risk Statement: Provide a risk statement which summarises the risk e.g. There is a risk that: (uncertain event) may happen, due to: (root cause), resulting in (impact on achieving objectives). There is no word limit. Further supporting information can be added in the risk cause and risk impact fields.

Risk Guide 3: Risk statement provides more guidance on writing a good quality risk statement.

Risk Statement

There is a risk that: (uncertain event) may happen, due to: (root cause), resulting in (impact on achieving objectives).

Opportunity or Threat: Use the drop-down list to select whether the risk presents an opportunity or threat to the achievement of the trust's objectives. There is an option to select both if the risk has both a positive and negative impact.

Opportunity or Threat

Does the risk present an opportunity or threat to achieving the trust's objectives?

Risk Cause

Provide further supporting detail about the cause of the risk.

Opportunity
Threat
Both

Risk Lead: Use the drop-down list to select the delegated risk lead with responsibility for ensuring that this risk record is periodically reviewed and updated as appropriate.

Drop down list

* Risk Lead ? Harrop, Mr John - Head of Risk (Corporate Affairs)

Lead Committee/Subgroup: Use the drop-down list to select the Committee/Subgroup with responsibility for providing assurance that this risk record is periodically reviewed and updated as appropriate. Select 'other' if the relevant Committee/Subgroup is not on the list and this will then be updated at a later date.

Lead Committee/Sub Group ? Risk Management Committee

Trust wide Risk: Use the drop-down list to select whether the risk has an impact outside of the Division which it originated – Yes/No.

Trust wide Risk	
Does this risk have an impact outside of the Division which it originated?	<input type="text"/>
	<input type="text" value="Yes"/>
	<input type="text" value="No"/>

Risk Cause: Optional field to provide supporting details about the cause of the risk if required. There is no word limit.

Risk Cause	
Provide further supporting detail about the cause of the risk.	<input style="width: 100%; height: 80px;" type="text"/>

Risk Impact: Optional field to provide supporting details about the impact of the risk if required. There is no word limit. If there are any supporting documents, these can be uploaded to the Documents section via the left-hand menu.

Risk Impact	
Provide further supporting detail about the impact of the risk.	<input style="width: 100%; height: 80px;" type="text"/>

Last Updated: This field is automatically populated with the name of the last person to update the risk record and the date and time which it was last updated.

Last updated	Mr John Harrop 31/08/2021 14:29:46
--------------	------------------------------------

Risk Type: Use the drop-down list to select Board Assurance Framework (BAF) Risk or Corporate Risk. BAF risks are for Board level risks only which impact on achieving strategic objectives. Corporate risks are all other risks which have an impact on achieving corporate/local objectives.

Risk Type	<input type="text"/>
Principal Objective	<input type="text" value="Board Assurance Framework Risk"/>
	<input type="text" value="Corporate Risk"/>

Principal Objective: Use the drop-down list to select the principal objective which is most relevant to the risk: Patients, People, Performance or Partnerships.

Principal Objective	<input type="text"/>
Risk Category	<input type="text"/> <ul style="list-style-type: none"> Patients People Performance Partnerships <input type="text"/>

Detailed objective: Optional field to include reference to the divisional business plan objective which is at risk due this identified uncertain event, if applicable.

Detailed Objective If applicable, which divisional objective will this risk effect?	<input type="text"/>
--	----------------------

Risk Category: Use the drop-down list to select the risk category which is most relevant to the risk. A full list of risk categories is detailed in Risk Guide 04.

Risk Category	<input type="text"/>
	<input type="text"/>

Ref: This optional field is provided to record a local risk reference if available, e.g., reference to objective in Divisional Business Plan.

Ref	<input type="text"/>
Add reference to local objective if applicable.	

Trust: This field is pre-populated with WWL.

Site: Use the drop-down list to select relevant site where the risk originated from.

Division: Use the drop-down list to select relevant Division where the risk originated from (Mandatory).

Div/Directorate: Use the drop-down list to select relevant Div/Directorate where the risk originated from.

Speciality: Use the drop-down list to select relevant Speciality where the risk originated from.

Trust	Wrightington, Wigan and Leigh Teaching Hospitals NHS Foundation Trust
Site	Leigh Infirmary
* Division Location of Risk	Corporate Support Services Division
Div/Directorate	Corporate Affairs
Specialty	Risk Management

Step 2: Risk Analysis

Refer to Risk Guide 05: Risk Assessment

Initial Risk Score: This information is pulled through from the RISK1 form and is read only. The initial score is the risk score with no controls in place or if current control measures failed.

Step 2: Risk Analysis						
Initial Risk Score	Consequence (initial)					
	Likelihood (initial)	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Critical
	5 Almost Certain	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
	4 Likely	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
	3 Possible	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
	2 Unlikely	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	1 Rare	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Rating (initial):		25		Risk level (initial):		
		Extreme Risk				

Current Risk Score: The risk lead, with assistance from the relevant Committee/Subgroup, should consider the likelihood of the uncertain event happening and, if the event were to happen, what impact this would have on the trust achieving its objectives. The risk lead should update the current risk score field with the current risk score taking into account the controls and assurances already in place. Click on the appropriate radio button on the scoring chart to select the current risk score.

Step 2: Risk Analysis						
Current Risk Score Current risk score taking into account controls and assurances already in place.	Consequence (current)					
	Likelihood (current)	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Critical
	5 Almost Certain	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
	4 Likely	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
	3 Possible	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
	2 Unlikely	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	1 Rare	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Rating (current):		12		Risk level (current):		
		High Risk				

Risk Guide 06: Controls and Treatments provides guidance on controls and treatments.

List existing controls: Click on the 'Edit' button.



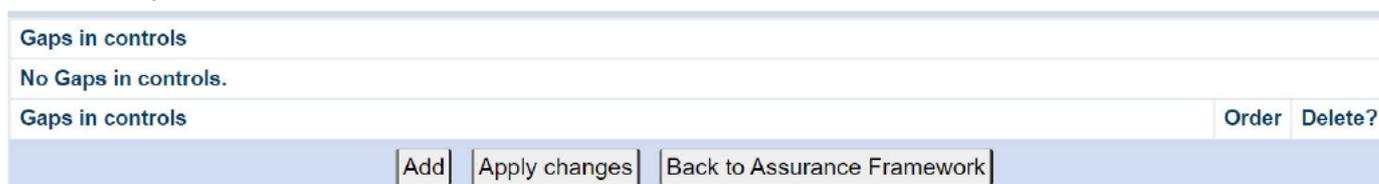
This will open a new page to record the current controls in place. Click on the 'Add' button.



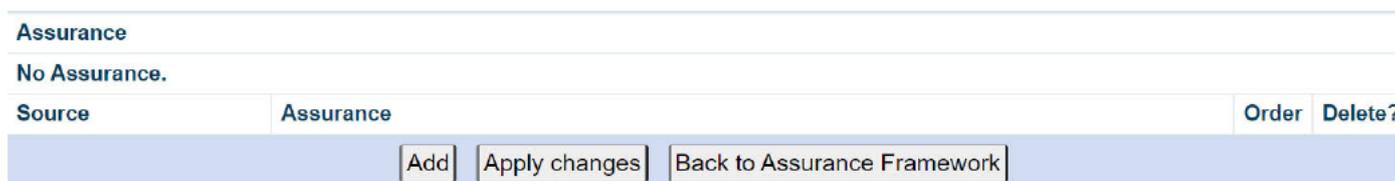
A new line is opened. Record the control measure in place to mitigate the likelihood of the uncertain event occurring and the impact that this may have on achieving objectives. Click the 'Add' button to add further lines and record further control measures. When all current control measures have been entered, click the 'Apply changes' button to save the risk record. The control measures will automatically display in the order added, but numbers can be entered into the 'Order' boxes to change the order the control measures are displayed e.g., enter 1 for this control measure to be listed first. Control measures can be deleted by ticking the 'Delete' box and then clicking the 'Apply changes' box. Click the 'Back to Assurance Framework' button to return to the main risk form.



Gaps in existing controls: Gaps in existing controls are added in the same way as existing controls are added in the example above. Gaps in controls include any current constraints, such as funding, which may have an impact on the amount of risk which we are able to take.



Assurances: Record the assurances in place to ensure that the control measures remain in place. Assurances are added in the same way in which the existing controls are added in the example above.



Assurance Source: The Sources of Assurances should be recorded in line with the three-line defence model described in the Risk Management Process SOP – section 6. Use the drop-down box to select the appropriate source of assurance.

Assurance

No Assurance.

Source	Assurance

- 1st Line - Divisional Level
- 2nd Line - Trust Level
- 3rd Line - Internal Audit
- External Assurance

Gaps in assurances: Gaps in assurances are added in the same way as existing controls are added in the example above.

Gaps in assurance

No Gaps in assurance.

Source	Gaps in assurance	Order	Delete?

Step 3: Evaluation

Risk Guide 05: Risk Assessment provides guidance on risk scoring. *Risk Guide 07: Risk Appetite and Tolerance* provides guidance on how to record the Risk Appetite and Risk Tolerance scores.

Overall assurance level: Based on the current controls and assurances identified in Step 2: Risk Analysis, evaluate the risk and use the drop-down list to select the adequacy of controls currently in place – Low, Medium or High.

Step 3: Risk Evaluation

Overall assurance level

Based on the controls already in place and the gaps identified, how assured are you that the risk is currently under control? High assurance, medium assurance or low assurance.

Risk Treatment: *Risk Guide 06: Controls and Treatments* provides guidance on controls and treatments. The risk lead, with assistance from the relevant Committee/Subgroup, should evaluate the risk and agree the treatment method to manage the risk. The risk lead should click on the appropriate risk treatment from the drop-down list to record this in the risk treatment field.

Risk Treatment

Specify the risk treatment method to manage this risk.

- Take the opportunity
- Terminate (stop the activity)
- Tolerate (Accept the risk)
- Transfer the risk
- Treat (Reduce the risk)

Risk Target: Risk Target is the risk score that we are aiming to achieve once our identified risk treatment (actions) have been completed. The risk lead, with reference to the trust’s risk appetite matrix and with assistance from the relevant Committee/Subgroup, should consider how much risk we are aiming to take and how much risk we are willing to tolerate within the selected risk category. The risk lead should click on the appropriate radio button on the scoring chart to select the risk target risk score.

Target Risk Score

Target risk score when actions have been completed?
Please refer to the risk appetite scoring matrix for optimal and tolerable risk scores for each risk category.

Likelihood (Target)	Consequence (Target)				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Critical
5 Almost Certain	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
4 Likely	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3 Possible	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2 Unlikely	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
1 Rare	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Rating (Target): 10 Risk level (Target): High Risk

Step 4: Risk Treatment

Risk Guide 06: Controls and Treatments provides guidance on risk treatments.

Further action may be required to address any gaps in controls or assurances which have been identified during Step 2: Risk Analysis. Click on the ‘Create a new action’ button to add an action.

Step 4: Risk Treatment

Actions
Record further actions required to address gaps in controls and assurances.

No actions

Create a new action

Save Cancel

This will open a new page to record the action details. Complete the risk action details form including: a description of the action, due date and the name of the responsible person who will provide progress updates and confirm when the action has been completed. Click on the ‘Submit action’ button.

Action Details

Action ID

Module

Linked record ID 3232

The **'Record'** above is the **'Risk Title'** that is linked to this Action.

The **'Linked Record ID'** is the **'Risk ID'** that is linked to this Action.

Priority

* Description

Start date (dd/MM/yyyy)

* Due date (dd/MM/yyyy)

Date completed (dd/MM/yyyy)

Assigned by ('From')

* Responsibility ('To')

Resource requirements

Progress

Continue to add further actions as required by clicking on the 'Create a new action' button to add an action.

Actions should be updated when progress has been made.

When an action has been completed, click on the 'Complete' button to close the action

Ensure all actions are marked as 'Complete' before closing a risk record.

Step 4: Risk Treatment

Actions
Record further actions required to align the current risk score within the target and/or tolerance scores?

ID	Responsibility ('To')	Assigned by ('From')	Module	Description	Due date	Date completed	Priority	Done date
5794	Mr John Harrop	Mr John Harrop	Risk Register	Test test test	31/08/2021		Low priority	<input type="button" value="Complete"/>

Step 5: Monitor and Review

Date Risk Opened: This field is automatically populated with the 'Date Opened' value from the RISK1 form.

Step 5: Monitor and Review

* Date Risk Opened (dd/MM/yyyy)

Review date (dd/MM/yyyy)

When was the risk reviewed?

Next Risk Review

When is the risk due for its next review?

* Approval status after save **New Risks Under Review**

Review Date: Click in white box to display a calendar and select the latest date when the risk record was reviewed. Please note that the Risk Management Committee will monitor and report on risks which are overdue review.

The screenshot shows a form titled "Step 5: Monitor and Review". It has several fields:

- "Date Risk Opened (dd/MM/yyyy)": 24/08/2021
- "Review date (dd/MM/yyyy) When was the risk reviewed?": A white box with a green circle around it, and a calendar pop-up showing August 2021 with the 31st highlighted.
- "Next Risk Review When is the risk due for its next review?": A white box with a green circle around it.
- "Approval status after save": A dropdown menu.

 There are "Save" and "Cancel" buttons at the bottom right of the form.

Next Risk Review: Click in white box to display a calendar and select the date when the risk record is due for its next review. Consider aligning review dates with Committee/Sub Committee meetings to enable periodic review of risks at these meetings.

This screenshot is similar to the one above, but the "Review date" field is empty. The "Next Risk Review" field has a white box with a green circle around it, and a calendar pop-up showing August 2021 with the 31st highlighted.

Approval status after save: *Risk guide 09: Frequently Asked Questions provides further details about the Approval Status section.* The table below provides an overview of the approval status process.

Statuses	Description
■ New Risks Under Review	When a new risk is submitted a notification email is automatically sent to managers within the risk location. Newly submitted RISK1 forms sit in new risks under review.
■ Awaiting Approval	The Risk Owner should review the risk, fill in the detail on the RISK2 form and change the drop down to Awaiting Approval.
■ Open Approved Risks	The appropriate Governance Lead will check the risk record and move the risk to Open Approved Risks.
■ Open Board Risks	The Risk Owner should email the Governance Lead within Datix when the risk is ready to be closed. The Governance Lead will close the risk.
■ Closed Approved Risks	
■ Rejected	The Risk Owner can reject a submitted risk if it is not substantiated or a duplicate risk.

Click on the drop-down arrow next to 'approval status after save' and select the current approval status. Click the 'Save' button to update the record.

Step 5: Monitor and Review

* Date Risk Opened (dd/MM/yyyy)

Review date (dd/MM/yyyy)
When was the risk reviewed?

Next Risk Review
When is the risk due for its next review?

* Approval status after save **New Risks Under Review** ▼

- New Risks Under Review
- Awaiting Approval
- Open Approved Risks
- Open Board Risks
- Closed Approved Risks
- Rejected

If a risk record is 'Rejected' a pop-up box appears which requires the risk lead to select the reason why the risk has been rejected. A rejected risk can be opened again by changing the approval status to 'New Risks Under Review'.

Step 5: Monitor and Review

* Date Risk Opened (dd/MM/yyyy)

Review date (dd/MM/yyyy)
When was the risk reviewed?

Next Risk Review
When is the risk due for its next review?

* Approval status after save **Rejected** ▼

Details of Rejection

Date Rejected (dd/MM/yyyy)

Rejected by

Reason for rejection ▼

- Breach of confidentiality
- Duplication
- Inappropriate form completed
- Incident outside of organisation's responsibility
- Issue - not a Risk
- Unsubstantiated Risk

Which Committee/Group approved this risk? Record the name of the group which approved the risk and the date it was last approved by the group.

Which Committee/Group approved this risk?

Date when risk was approved?

Progress notes

'Progress notes' can be added following each review of the risk to provide a summary of progress since the last review.

Progress notes
Progress since last review.

New note

No progress notes.

Save Cancel

Contacts

'Contacts' can be accessed via the left-hand menu and added to the risk if required.

Contacts

No Contacts

Create a new Contact link

Save Cancel

Communication and feedback

'Communication and feedback' can be accessed via the left-hand menu and should be used for email communication about the risk.

Communication and feedback

Recipients

Staff and contacts attached to this record
Only staff and contacts with e-mail addresses are shown.

All users
Only users with e-mail addresses are shown.

Additional recipients
Enter e-mail addresses of other recipients not listed above. You can enter multiple addresses, separated by commas.

Message

Subject DalkWeb feedback message

Body of message

This is a feedback message from Mr John Harrop. The Risk reference is 3232.

The feedback is:

Please go to <http://dalk.ewl.nhs.uk/live/index.php?action=riskrecordid=3232> to view it.

Attachments

Send message

Message history

Date/Time	Sender	Recipient	Body of Message	Attachments
No messages				

Save Cancel

Linked Records

'Linked Records' are accessible via the left-hand menu and can be used to create a link between the risk record and other risk records or records from other modules. For example, the risk record could be linked to a related BAF risk or to incident records which relate to the risk.

Linked Records
No Linked Records.
Link a record. Save Cancel

Link Details
* Module
* Module Link ID
Link notes
Save Cancel

Documents

'Documents' are accessible via the left-hand menu and can be uploaded to support the risk record, such as assurance reports relating to the risk.

Attachment details
* Link as
* Description
* Attach this file Browse...
Save Cancel

Notifications

The 'Notifications' section is accessible from the left-hand menu and displays a list of recipients who have received a notification email about the risk.

Notifications					
Recipient Name	Recipient E-mail	Date/Time	Contact ID	Telephone Number	Job title
Harrop, John Mr	John.Harrop@wwl.nhs.uk	24/08/2021 20:10:06	283328		Head of Risk (Corporate Affairs)

Save Cancel