

## 1 - Consequence (Outcome or Impact of an Event)

Descriptors	A - Insignificant	B - Minor	C - Moderate	D - Major	E - Severe
<b>Service Delivery</b>	No loss of service. Issues rectified with corrective action. No material disruption to dependent work.	Short term temporary suspension of service. Backlog cleared in a day. No public impact.	Medium term temporary suspension of service. Backlog requires extended work or overtime. Manageable impact.	Prolonged suspension of service. Additional resources, budget, management assistance required. Performance criteria compromised.	Complete and indefinite disruption to services. Impact not manageable. Non-performance. Other providers appointed.
<b>Strategic Objectives</b>	No measurable impact on the ability in achieving strategic objectives. No impact on delivery of Service Delivery Agreement (SDA) .	Minor inability in achieving strategic objectives. Managed by normal activities. Failure to meet one or more KPIs in the SDA.	Material delays. Moderate inability in achieving strategic objectives. Managed by Executives Officers. Failure to meet a number of priority KPI's in SDA.	Major inability in achieving strategic objectives requiring Chief Executive intervention. Failure to meet a significant number of priority KPI's in SDA.	Permanent failure in achieving strategic objectives. Failure to meet critical KPI's in SDA.
<b>Corporate Culture</b>	Staff dissatisfaction with minimal impact to service delivery.	Staff dissatisfaction resolved by business processes or human resources.	Staff dissatisfaction impacting on safety and quality of service.	Staff dissatisfaction resulting in unplanned restrictions or delay of service.	Staff dissatisfaction resulting in unplanned sustained delays or cessation of service.
<b>Legal, Regulatory and Compliance</b>	No breach of legal obligations. Minor non-compliance with internal policy requiring no action.	Breach of legal obligations unlikely to result in adverse regulatory response. Non-compliance with internal policy requiring action.	Legal obligations breach with potential of regulatory action. Non-compliance with internal policy requiring formal corrective action.	Major breach or malpractice with potential of adverse regulatory attention, investigation and potential damages or fines. Non-compliance with internal policy requiring disciplinary action.	Serious breach or malpractice with potential for significant prosecution, fines or damages. Cessation of employee service due to non compliance with internal policy.
<b>Finance</b>	No budget overrun. Unlikely to impact on funded activities. No asset loss.	Budget overrun <= 0.5%. Impact may be reduced by reallocating resources. Asset loss <\$5000.	Budget overrun >0.5% to <=1%. Introduction of efficiency measures. Asset loss >\$5000 - <\$100,000.	Budget overrun >1% - <2%. Savings strategy implementation. May attract adverse findings from external auditors. Asset loss >\$100,000- <\$500,000.	Budget overrun > 2%. Will attract adverse findings from external auditors and the Minister. Asset loss >\$500,000.
<b>Image &amp; Reputation</b>	Isolated complaint without media attention. Not at fault. Potential for public concern.	Local media coverage with short periods of loss of public confidence. Elements of public expectation not being met.	Sustained adverse media attention. Limited short term impact on community confidence. Escalating patient/ consumer complaints.	Significant adverse media event. Prolonged loss of public confidence. Chief Executive/Ministerial intervention.	Significant sustained adverse media attention. Complete loss of community confidence. Parliamentary enquiry/ intervention.
<b>WHS Staff, Contractors and other Stakeholders</b>	Near miss or minimal injury requiring first aid or equivalent only. No lost time injury (LTI).	Routine medical attention. Minor injury / illness or exposure, requiring minor intervention. Lost Time Injury (LTI) 1-3 days.	Moderate injury / exposure requiring professional intervention / medical treatment. LTI less than 1 week.	Severe health crisis or injury. Prolonged incapacity / absence. Significant disability. An event which impacts on a number of patients. LTI 1 week - 1 month.	Death or permanent disability . Employee unable to return to work.
<b>Remote Staff Safety and Security</b>	Visit/call out requiring standard risk management.	Visit/call out with low risk to staff security but potential to escalate.	Visit/call out with potential risk requiring police contact.	Not attend call out/visit assessed high risk or attend call out/visit but leave due to high risk/direct threat.	Attend call out/visit but leave due to physical attack/injury or fail to return from call out/visit.
<b>Clinical Risk</b>	Near miss or no injury unrelated to the person/s natural course of illness. No increase in care.	Minimal harm unrelated to the person/s natural course of illness. Increased level of care.	Moderate harm unrelated to the person/s natural course of illness with no loss or reduced function. A higher level of care or observation required.	Significant harm unrelated to the person/s natural cause of illness with loss / reduced function and differing from expected outcome of patient management.	Unexpected death / permanent disability unrelated to the person's natural course of illness. All 'Sentinel events' / "Critical incidents" rated <b>Severe</b> .
<b>Facilities / Assets and Data</b>	Negligible loss or damage to property, plant or equipment, records or information.	Minor loss, damage, unauthorised access/ threat to property, plant or equipment, records or information.	Temporary suspension of service due to loss, damage, unauthorised access/ threat to property, plant or equipment, records or information.	Prolonged service disruption of service due to loss, damage, unauthorised access/ threat to property, plant or equipment, records or information.	Cessation of service due to loss, damage, unauthorised access or threat to property, plant or equipment, records or information.
<b>Access Security</b>	Security event with minimal effect on services.	Security event with localised disruption to services.	Security event causing temporary suspension of service.	Security event causing prolonged service disruption.	Security event causing long term cessation of service.

## 2 - Likelihood (Chance / Frequency of an Event Happening)

	Descriptor	Description	Likelihood
1	Rare	No identified or known incidents of event ever occurring. Very unlikely to ever occur.	Event not expected to occur less than once every five (5) years or, probability of adverse consequent occurring <5%.
2	Unlikely	Evidence of event occurring in the past but unlikely to occur.	Event expected to occur once in the next 2-5 years or, probability of adverse consequent occurring 5%-15%.
3	Possible	There is evidence of several events in the past and may occur infrequently.	Event expected to occur once in the next 1-2 years or, probability of adverse consequent occurring 15%-50%.
4	Likely	Risk event will probably happen but not a persistent issue.	Event expected to occur once in the next year or, probability of occurring adverse consequent 50%-75%.
5	Almost Certain	Risk event is expected to occur or has already occurred.	Event expected to occur within the next week to three (3) months or, probability of adverse consequent occurring 75%-100%.

# Risk Assessment Guide (matrix)

To be read in conjunction with Department of Health's Risk Management Policy and framework

## 5 - Risk Response

Tolerance	Risk Response	Definition
If tolerable	Tolerate	Management have no undue concern with the current level of risk (risk rating) and no further action is required. The risk may be tolerated due to extenuating circumstances.
	Treat	Management are uncomfortable with the current risk level, however risk treatment actions can be implemented to reduce the risk to a tolerable level / the target level of risk.
If intolerable	Transfer	Management are planning or have transferred the risk to another party (e.g. insurance, contract etc.)
	Terminate	Management are uncomfortable with the current risk level and no risk treatment actions can be implemented to reduce the risk to an acceptable level / the target level of risk. The activities leading to the risk are discontinued.

## 4 - Actions and Ownership

Descriptors	Low	Medium	High	Very High	Extreme
<b>Tolerance guidance</b>	All risks in this category are tolerable except in certain circumstances.	All risks in this category are tolerable except in certain circumstances.	Most risks in the category are tolerable except in certain circumstances.	Most risks in this category are intolerable unless the risk is tolerated by the risk owner.	Most risks in the category are intolerable unless the risk activity is undertaken with Chief Executive approval.
<b>Risk Ownership / Monitoring</b>	Team Leader	Branch/Function Manager	Divisional Head	NTHLG/Exec member	Chief Executive Officer
<b>Escalation requirements (new and changed risks)</b>	Must be reported to Team Leader in seven (7) working days.	Must be reported to Team Leader in 24 hours / Function Manager within five working days.	Must be reported to Divisional Manager within 24 hours who will determine if the risk is tolerable.	Must be reported to NTHLG within 24 hours/ CEO within five working days. NTHLG/Exec member to determine if risk is tolerable.	Must be reported to CEO and NTHLG members as soon as possible. CEO to determine if risk is tolerable.
<b>Monitoring frequency</b>	Quarterly	Quarterly	Bi-monthly	Monthly	Weekly
<b>Reporting</b>	Annually to NTHLG.	Annually to NTHLG.	Qrtly to CEO /NTHLG. Annually to RAC/ SQC.	Mthly to CEO / NTHLG, quarterly to RAC/ SQC.	Mthly to CEO/ NTHLG and qrtly to RAC/ SQC.
<b>Treatment plan requirements</b>	Treatment Plan optional.	Treatment plan optional.	Treatment plan developed for intolerable risks within one month, actions implemented with six months.	Treatment plan developed for intolerable risks within 2 weeks, actions implemented within two months.	Treatment plan developed for intolerable risks within one week, actions implemented as soon as possible.
<b>Treatment plan approval</b>	Team Leader	Branch Manager	Divisional Manager	NTHLG member/Exec member	Chief Executive/COO
<b>Treatment plan monitoring</b>	Annual to Divisional Manager.	Annual to Divisional Manager.	Bi-monthly by NTHLG member.	Monthly by CE, quarterly by RAC.	Monthly by CE and NTHLG, quarterly RAC.

## 3 - Risk Rating (Consequence and Likelihood)

		Consequence				
		A- Insignificant (1)	B- Minor (2)	C- Moderate (3)	D- Major (4)	E-Severe (5)
Likelihood	Almost Certain (5)	Medium (9 or 5A)	High (16 or 5B)	Very High (18 or 5C)	Extreme (24 or 5D)	Extreme (25 or 5E)
	Likely (4)	Medium (8 or 4A)	High (13 or 4B)	High (15 or 4C)	Very High (21 or 4D)	Extreme (23 or 4E)
	Possible (3)	Low (4 or 3A)	Medium (7 or 3B)	High (12 or 3C)	High (17 or 3D)	Very High (22 or 3E)
	Unlikely (2)	Low (2 or 2A)	Medium (6 or 2B)	Medium (10 or 2C)	High (14 or 2D)	Very High (20 or 2E)
	Rare (1)	Low (1 or 1A)	Low (3 or 1B)	Low (5 or 1C)	Medium (11 or 1D)	Very High (19 or 1E)