Residential Care Homes Risk Assessment:

Date Name of Home **Care Home** prepared

24/11/2014



| Risk No | Risk Area | Low Risk Level High See Guidance Bel | | | | | | | | |
|------------|--------------------------------------|---|---|---|---|------------|----------|-------------|------------------------|---------|
| | | | | | | Likelihood | Impact | Risk Rating | Additional information | Actions |
| 1 | Monitoring concerns and safeguarding | Low level Contract Monitoring Concerns | Low numbers of concerns and safeguarding alerts of a minor nature. | Numerous concerns and safeguarding alerts of a moderate nature. | Single concerns and/or safeguarding alerts of a serious nature | High | Critical | | | |
| 2 | Monitoring Information | Service completes QMI on time. | Service late in completing QMI but no missed information. | Service regularly late or missed submission. | No information submitted in QMI returns. New service with to monitoring history. | Lcw | Marginal | | | |
| 3 | cqc | Service is CQC compliant. | Service has minor improvement actions required by EQC to become compliant | Service has: iraprovements actions with a maderate to major inspace | Service has enforcement actions being taken by CQC | High | Critical | | | |
| 4 | External Agencies | No concerns raised by other local authorities / partner agencies. | Minor concerns raised by other local authorities / partner agencies. | Numerous minor or moderate concerns and soft intelligence by other agencies | Suspension of contracts or major concerns from other local authorities / partner agencies. | Low | Marginal | | | |
| 5 | Finance | No concerns with financial viability of service. | Minor concerns regarding financial viability i.e. occupancy levels. | Low Financial Credit Score and soft intelligence from their suppliers that bills not being paid | Service in receivership or being sold. Major concerns regarding financial viability. | Low | Marginal | | | |
| 6 | Annual Spend | £0-£49,999 | £50k-£249K | £250k > £499k | At or above £500k | Very high | Marginal | | | |
| | OVERALL RISK RATING | | | | | | | | | |

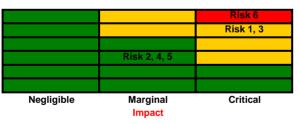
Risk Matrix Guidance The Risk Assessment Matrix:

The matrix sets out the suggested criteria for assessing the likelihood and consequences to produce and overall score.

The Risk Rating is calculated by multiplying the likelihood against the consequences, the risk score is then plotted on the matrix.

Summary of Risks plotted on the risk matrix

Likelihood Very high High Significant Low Very low Almost impossible



The colours red, amber and green reflect varying levels of overall risk:

Green: Generally acceptable - subject to monitoring (a green

How likely is it that the risk is going to happen?

- 6: Very High More likely to happen than no >80% chance of occurrence
- 5: High More likely to happen than not 60% 80% chance of occurrence
- 4: Significant Quite probable that the risk could occur especially if control measures are inadequate 40% 60% chance of occurrence
- 3: Low Quite possible that the risk could occur especially if control measures are inadequate 20% 40% chance of occurrence
- 2: Very low Likelihood of occurrence is relatively slim 10% 20% chance of occurrence
- 1: Almost impossible Likelihood of occurrence is very slim <10% chance of occurrence

What would the impact be if the risk was to crystallise?

- 4: Catastrophic Severe impact on performance through a reduced ability to deliver.
- 3: Critical Potential impact on performance and service delivery. May be adequately managed through existing processes.
- 2: Marginal Unlikely to have a permanent or significant effect
- 1: Negligible Very unlikely to have a permanent or significant effect

1 Very high

2 High 3 Significant 1 Negligible

2 Marginal

4 Catastrophic

3 Critical

- 4 Low 5 Very low
- 6 Almost impossible

1 GREEN 2 GREEN 3 GREEN

- 4 GREEN 5 GREEN
- 6 GREEN 7 GREEN 8 GREEN
- 9 AMBER 10 AMBER
- 11 AMBER 12 AMBER 13 AMBER
- 14 AMBER 15 AMBER
- 16 AMBER 17 AMBER
- 18 RED
- 19 RED 20 RED
- 21 RED 22 RED
- 23 RED
- 24 RED