

Morecambe Bay



Primary Care Collaborative

Risk Management Policy

Document Reference	POL013
Purpose	This Risk Management Policy is designed to ensure that all services and projects running under MBPCC have had a thorough and rigorous assessment of any risks and issues affecting their delivery.
Author	Jo Knight
Application/Scope	Organisation-wide
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1. INTRODUCTION

1.1 Summary

Effective management of organisational risk is essential to successful delivery of organisational objectives. As such, there is an established risk management protocol in place which all component services and projects within Morecambe Bay Primary Care Collaborative (MBPCC) are required to follow.

Organisation Risk Appetite

Risk appetite is 'the amount of risk that an organisation is prepared to accept, tolerate or be exposed to at any point of time'. Risk therefore needs to be considered in terms of both opportunities and threats and is not usually confined to money. Risk will invariably impact on the capability of the organisation, its performance and its reputation.

The risk appetite statement provides direction and boundaries on the level risk that can be accepted at various levels of the organisation, how the risk and any associated reward are to be balanced, and the likely response. MBPCC may have different appetites for different categories of risk.

Annually MBPCC will consider its risk appetite, this will reflect the levels and types of risk that the MBPCC is prepared to take.

Risk Appetite is measured through the Risk Maturity Matrix (see Appendix 4, this will support the decision on how to respond to the identified risks.

MBPCC Appetite Statement

MBPCC as a relatively new organisation has at present a 'cautious' risk appetite, working towards a 'open' risk appetite. There is no appetite for fraud/financial risk and a zero tolerance for regulatory breaches. MBPCC preferences favour safe delivery options that have a low degree of inherent risk, understanding that this may only have limited potential for reward. MBPCC supports well managed risk taking and will ensure that the skills, ability and knowledge are in place to support innovation and to maximise opportunities to further improve services.'

1.2 Purpose

This Risk Management Policy is designed to ensure that all services and projects running under MBPCC have had a thorough and rigorous assessment of any risks and issues affecting their delivery. It is essential that any identified risks and issues continue to be actively managed, mitigated and monitored throughout the life of the project, and that appropriate escalation practices are followed as per the content of this document.

1.3 Scope

This policy applies to all MBPCC activities. It forms part of MBPCC governance framework and applies to all its employees, directors, contractors and volunteers.

From time to time MBPCC may utilise the resources of sub-contractors to deliver contractual obligations. For avoidance of doubt, where a sub-contractor is providing care to patients, as laid out in the contracts between MBPCC and subcontractors, they are solely responsible for delivery of the regulated activity they are providing, and must ensure all their employees operate under their own policies which must meet the relevant CQC standards. MBPCC will seek assurance from all sub-



contractors that suitable policies are in place, and may at their discretion request copies of any relevant policies for review and for verification. In such cases this policy document does not apply.

Organisational risks

MBPCC Chief Executive Officer (CEO), management and support team should follow the policy to identify, assess, manage and monitor organisational risks, and actively manage and resolve organisational issues as they arise.

The MBPCC Board should follow the policy in their role in reviewing and signing-off the completed organisational risk register. Monitoring high level risks and supporting mitigation of identified organisational risk and issues as appropriate, involving partner organisations should risks cross organisational boundaries.

Project Risks

Project managers should follow the policy with project teams to identify, assess, manage and monitor risks, and actively manage and resolve issues as they arise.

Those in project assurance roles (such as MBPCC Board Directors linked to projects) should follow the policy to support project teams to: complete their project risk registers; review and sign-off completed project risk registers; advise on the management and escalation of issues.

Definitions

Risk = A risk is something that has not yet occurred but, should it occur, is expected to have an impact on the ability of the project/organisation to deliver its stated objectives, and/or deliver to time and budget.

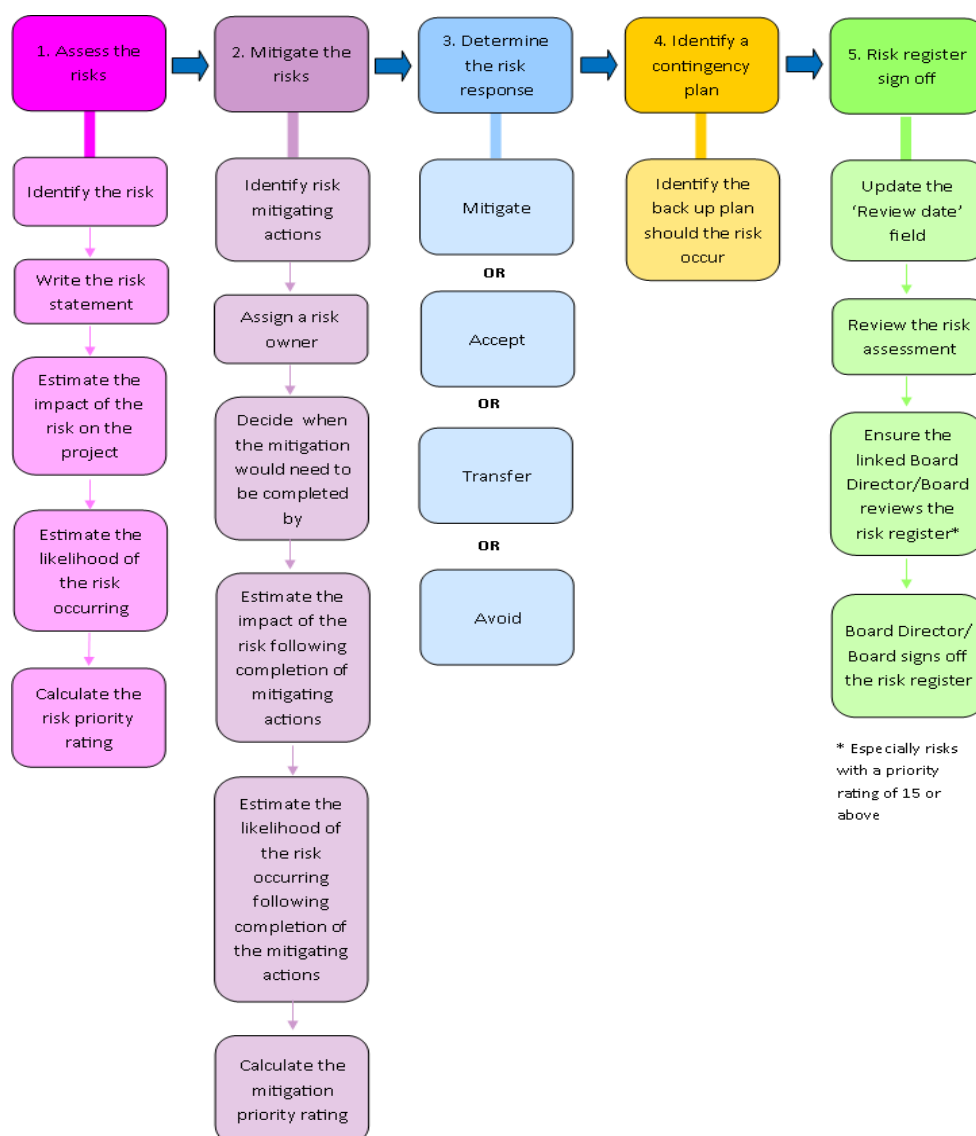
Issue = An issue is something that has occurred and will impact on the ability of the project/organisation to deliver its stated objectives, and/or deliver on time and to budget if it remains unresolved. This may have been a risk that has now become an issue, a risk mitigating action that is proving difficult to implement (leaving an unacceptably high risk for the project) or it could be something new that is impacting the project which wasn't previously anticipated.

2. MANAGEMENT OF PROJECT RISKS AND ISSUES PROCEDURE

2.1 Risk Assessment and Sign Off Process

A Risk Register should be completed for the organisation and for all projects, an excel template 'MBPCC Risk Register Template' is provided by MBPCC.

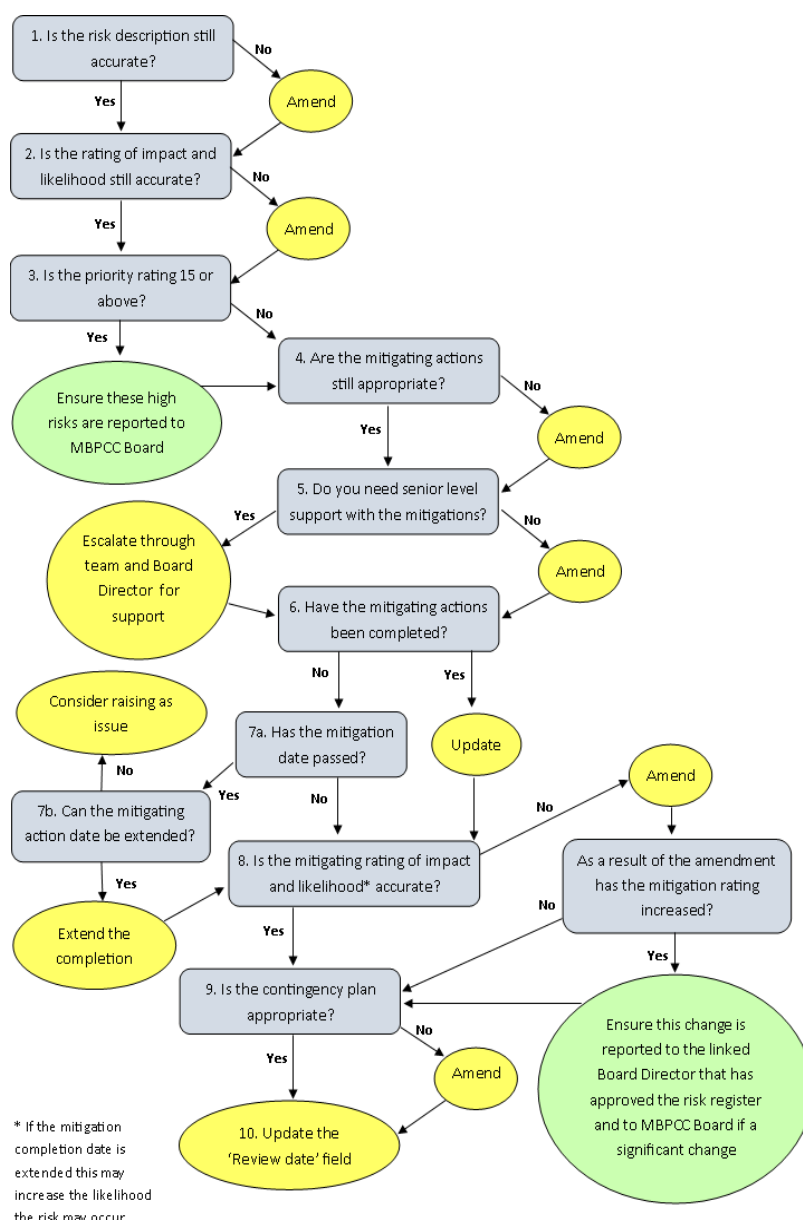
The template should initially be completed by the management team (for organisation risks) or project delivery team (project risks), with support from the linked MBPCC Board Directors as appropriate. Risk register sign off is to be carried out by linked Board Directors (project risk register) or the MBPCC Board (organisational risk register). The following steps should be undertaken when completing the Risk Register:



For detailed guidance on this process as well as instruction on how to write a risk and issue statement effectively, please refer to Appendix 1.

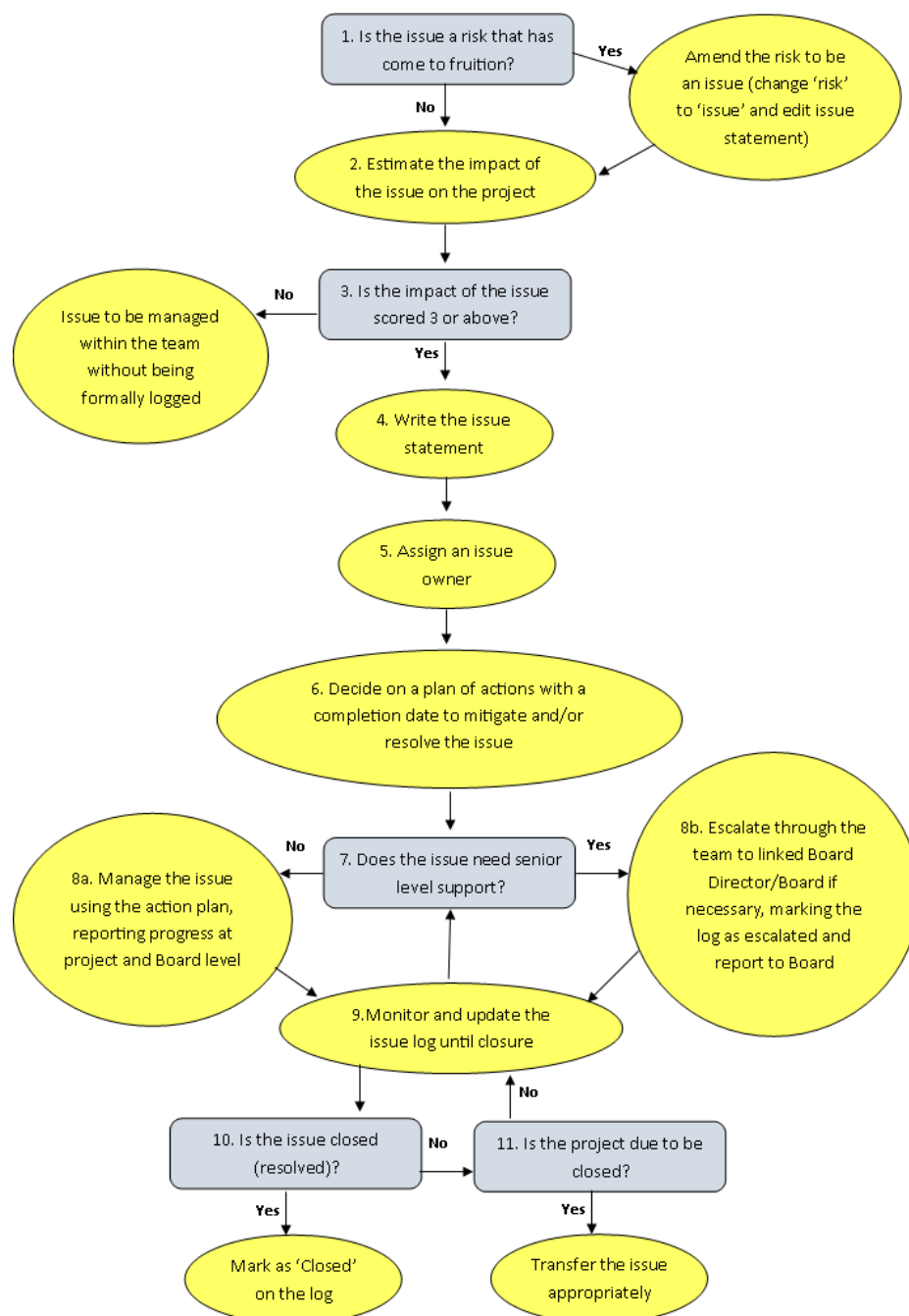
2.2 Risk Review Process

Completion of the Risk Register should not be treated as a one-time 'tick-box' exercise. As organisations and projects operate in dynamic environments, the Risk Register should be treated as a live document, with its content being reviewed and refreshed accordingly on a monthly basis. It is the responsibility of management/project delivery teams to conduct these regular reviews; however it is the responsibility of the MBPCC Board/Directors to ensure robust reviews do take place. Such reviews should ensure appropriateness/accuracy is maintained as up-to-date and report any risks that have an 'effective priority rating' of 15 or above for the attention of MBPCC Board (monthly reporting) and project steering groups, the following flow chart should be used:



2.3 Issue Management Process

Issue management is an important aspect of delivering any project successfully and in managing organisational issues as they arise. The Risk Register template is to be used to record the assessment, management and monitoring of any issues that either require management action to resolve or issues that the project manager may not be able to resolve without further assistance. It is important to report any issues that have an 'effective priority rating' of 15 or above for the attention of MBPCC Board and project steering groups for awareness and to seek support if required. The following process outlined in the flow chart should be used:





3. REFERENCES

Good Governance (October 2019). Risk Appetite for NHS Organisations: A Matrix to support better risk sensitivity in decision taking. Accessed 28/09/2020 [Available from: <https://www.good-governance.org.uk/wp-content/uploads/2012/01/Risk-Appetite-Maturity-Matrix-3.pdf>]

4. DEFINITIONS/GLOSSARY OF TERMS

Abbreviation or Term	Definition
NPSA	National Patient Safety Agency
Risk	An uncertain event or set of circumstances that, should it occur, will have an effect on achievement of one or more project objectives.
Issue	An issue is something that has occurred and will impact on the ability of the project to deliver its stated objectives, and/or deliver on time and to budget if it remains unresolved.
MBPCC	Morecambe Bay Primary Care Collaborative
CQC	Care Quality Commission
CEO	Chief Executive Officer

5. CONSULTATION WITH STAFF, PRACTICES AND PATIENTS

Name	Job Title	Date Consulted
Andrew Giles	MBPCC Chief Executive	May 2020
Lauren Butler	MBPCC	May 2020
Hazel Donegan	MBPCC	May 2020
Lorraine Evans	CCG Quality Governance Manager	15/09/2020

6. DISSEMINATION/TRAINING PLAN

For example: Upload to MBPCC website, circulate to staff, ensure new staff are asked to review the policy as part of their induction, retrieve out-of-date copies

Action by	Action Required	Implementation Date
Jo Knight	Support Risk Register holders to be confident with the process	01/09/2020 Complete
Jo Knight	Present Risk Report to MBPCC Board until admin replacement can take over	July 2020 to October 2020
Jo Knight/Boyana Konar	Upload policy to MBPCC website	30/09/2020
Jo Knight	Delete out of date copies and host current copy on Federation G Drive (supporting induction process), updating Policy tracker	30/09/2020
Liz Stedman	Upload to TeamNet	Jan 2021



Liz Stedman	Upload revised version to teamnet/shared drive and website	May 2022
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7. AMENDMENT HISTORY

Version No.	Date of Issue	Section/Page changed	Description of change	Review Date
V1.0	21/05/2020	All	New policy	21/05/2023
V1.1	20/09/2020	All	New format	21/05/2023
V1.2	28/09/2020	1.3 Page 3	Cross organisation boundaries in risk management	21/05/2023
		2.2 Page 5 Appendix 1.1.5 Page 10	Monthly reporting to MBPCC of risks 15+ added to policy to reflect practice	
		Appendix 1.2.1 Page 12 and Appendix 3	Suggested use of gateways in listing mitigations and comments against added	
		Appendix 3	New guidance added to support risk and issue review	
		1.1 Page 3, appendix 1.3 and Appendix 4	New risk appetite information added	
V1.3	19/01/2021	Page 8	Additional Definitions/Glossary of Terms added	
V1.4	25/04/2022	Version control	Review and update in line with review schedule	25/04/2024
V1.4	17/05/2022	Review	Approved by the Board	17/05/2024

8. APPENDICES

Appendix 1: Risk/Issue Assessment Guidance

1.1 Assessment of Risks/Issues

1.1.1 Identify the risk / Issue raised

A risk is something that has not yet occurred but, should it occur, is expected to have an impact on the ability of the project to deliver its stated objectives, and/or deliver to time and budget. It is important to identify possible risks early in the project planning and organisation set up so that risk response actions e.g. mitigations can be planned thus reducing the likelihood and impact the risk may have should it occur. There are several techniques that can be used to help identify risks within the project delivery team including (but not limited to):

- Brainstorming
- SWOT analysis
- Peer Review

Further details on helpful risk identification techniques are available in Appendix 2.

An issue is something that has occurred and will impact on the ability of the project to deliver its stated objectives, and/or deliver on time and to budget if it remains unresolved. This may have been a risk that has now become an issue, a risk mitigating action that is proving difficult to implement (leaving an unacceptably high risk for the project) or it could be something new that is impacting the project which wasn't previously anticipated. An issue could occur at any point in the project lifecycle.

1.1.2 Write the risk / issue statement

Once a source of risk has been identified, a risk statement should be written in a 'cause, risk, impact' structure as follows:

Risk #	Cause	Risk	Impact
#	Due to... Because...	There may be... It could cause...	This would result in... This would lead to...
Example Risk	Due to the large number of vacancies within the organisation	there may be difficulties obtaining the right level of resource to support the project	this would result in late delivery of key project milestones

Writing a risk statement in the cause, risk, impact structure allows for more effective risk response planning as it provides clear and specific risk detail which enables appropriate mitigating actions to be identified.

When writing a risk statement, remember to use SMART (**S**pecific, **M**easurable, **A**chievable, **R**ealistic, **T**ime managed) criteria. A risk statement should be related to the projects objects, focus on uncertain events and be specific to enable clear mitigation to be planned.

When a moderate impact issue has been identified, an issue statement should be written in a 'issue, impact' structure as follows:



Issue #	Issue	Impact
#	There have been... Due to...	which has resulted in... which has led to...
Example Issue	There have been difficulties obtaining the right level of resource to support the project	which has resulted in late delivery of a key project milestone.

Writing an issue statement in this structure allows for more effective issue contingency plans to be developed.

1.1.3 Estimate the impact of the risk/issue on the project

Assess the impact the risk/issue (as outlined in the risk/issue statement) would have on the project on a scale of 1-5 (negligible, minor, moderate, major, catastrophic) in line with the National Patient Safety Agency (NPSA) Risk Scoring matrix (below) to generate the initial priority impact rating.

This rating should refer to the expected impact on the ability of the project/organisation to successfully deliver its objectives. A score of '5' should be attributed to all risks/issues where the impact is likely to be full project failure/an organisation's inability to delivery key objectives/service.

The most relevant domains in the NPSA scoring matrix for project/organisational risks are Human Resources and Business/Project Objectives. Use the below matrix to help assess the impact of a risk/issue statement, first chose the domain from the left hand column which most closely associates to the expected impact of your risk/issue then chose the consequence score based on the impact statements detailed.

The Human Resources and Business/Project Objectives relevant domains from the NPSA scoring matrix can be seen below:

	Consequence score (severity levels) and examples of descriptors				
	1	2	3	4	5
Domains	Negligible	Minor	Moderate	Major	Catastrophic
Human resources/ organisational development/staffing/ competence	Short-term low staffing level that temporarily reduces service quality (< 1 day)	Low staffing level that reduces the service quality	Late delivery of key objective/service due to lack of staff Unsafe staffing level or competence (>1 day) Low staff morale	Uncertain delivery of key objective/service due to lack of staff Unsafe staffing level or competence (>5 days) Loss of key staff	Non-delivery of key objective/service due to lack of staff Ongoing unsafe staffing levels or competence Loss of several key staff No staff attending mandatory training /key training on an ongoing basis



	Consequence score (severity levels) and examples of descriptors				
	1	2	3	4	5
Domains	Negligible	Minor	Moderate	Major	Catastrophic
Business objectives/ projects	Insignificant cost increase/ schedule slippage	<5 per cent over project budget Schedule slippage	5–10 per cent over project budget Schedule slippage	Non-compliance with national 10–25 per cent over project budget Schedule slippage Key objectives not met	Incident leading >25 per cent over project budget Schedule slippage Key objectives not met

For the example risk statement 'Due to the large number of vacancies within the organisation, there may be difficulties obtaining the right level of resource to support the project. This would result in late delivery of key project milestones', the risk register impact score could be considered 3 - moderate and the risk register impact score would be updated accordingly.

1.1.4 Estimate the likelihood of the risk occurring

Assess the likelihood the risk may occur on a scale of 1-5 (rare, unlikely, possible, likely, almost certain) based on the descriptors in the table below. This rating should refer to the expected likelihood of the risk occurring, and it may be useful to canvass the opinion when making this assessment.

Likelihood score	1	2	3	4	5
Descriptor	Rare (0-5%)	Unlikely (6-20%)	Possible (21-50%)	Likely (50-80%)	Almost certain (80-100%)
Frequency (how often might it/does it happen)	This will probably never happen/recur	Do not expect it to happen/recur but it is possible it may do so	Might happen or recur occasionally	Will probably happen/recur but it is not a persisting issue	Will undoubtedly happen/recur, possibly frequently

1.1.5 Risk priority rating

A risk's priority rating is automatically calculated in the risk register template and is the sum of the estimated impact score multiplied by the estimated likelihood score. The risk matrix below, provides more detail on the thresholds for categorisation of risks as low, moderate, significant or high:

Risk Matrix							
			Impact / Consequences				
			Negligible	Minor	Moderate	Major	Catastrophic
			1	2	3	4	5
Likelihood	Almost certain	5	5	10	15	20	25
	Likely	4	4	4	12	16	20
	Possible	3	3	6	9	12	15
	Unlikely	2	2	4	6	8	10
	Rare	1	1	2	3	4	5

For grading risk, the score obtained from the risk matrix assigned grades are as follows:

1-3	Low risk
4-6	Moderate risk
8-12	Significant risk
15-25	High risk

The risk statement priority rating should be used as a guide for the appropriate Risk Response along with identified mitigating actions and post-mitigation priority rating (see 5.3 for further details on Risk Response).

As the assessment of risks are documented in the template, certain risks are highlighted automatically as requiring reporting. All risks with a priority rating of 15 or above must be reported monthly to MPCC Board for senior management visibility.

1.2 Mitigating Risks/Resolving Issues

1.2.1 Identify and populate appropriate mitigating actions

Mitigations are actions that can be taken to reduce the likelihood of the risk occurring, reduce the impact of the risk should it occur or reduce the impact of an issue. When stating a mitigating action, consideration should be made to potential resources that may be required to undertake the mitigating action. For example, a risk/issue may be able to be mitigated by allocating additional resource but this could come at a cost or could adversely affect business as usual operations elsewhere in the organisation (creating a secondary risk or further issue). For high risk/multiple mitigations; first (and possibly second and third) and final gateway mitigations can be listed here, allowing updates on gateways completed to be stated in the Comments/Latest Status.

1.2.2 Risk/Issue Owner

Identify and populate an appropriate named risk/issue owner, the person best placed to oversee and ensure implementation of the identified mitigating actions.

1.2.3 Mitigation Completion Date

Determine and populate an appropriate deadline date for when the mitigating actions would need to be completed to successfully mitigate the risk or resolve the issue.

1.2.4 Mitigation Impact Rating

Estimated the impact post-mitigation by assessing on the same 1-5 scale as the original impact score, estimating what the risk/issue statement impact rating will be if the mitigating actions are implemented. This should only be lower than the original estimated impact rating if mitigating actions have been identified which focus on reducing the impact of the risk should it occur.

1.2.5 Mitigation Likelihood Rating

Estimated likelihood post-mitigation, assess on the same 1-5 scale as the original likelihood score, estimating what the likelihood rating will be for the risk if the mitigating actions are implemented. This should only be lower than the original estimated likelihood rating if mitigating actions have been identified which focus on reducing the likelihood of the risk occurring. Likelihood ratings are not required for issue statements.

1.2.6 Mitigation Priority Rating

The risk statement priority rating post-mitigation will be automatically calculated in the template. It is the sum of the estimated impact post-mitigation score multiplied by the estimated likelihood post-mitigation score. This should be used in parallel with the original priority rating score to inform the projects decision on the appropriate risk response.

1.3 Determine the Risk Response

Based on the initial priority rating, the identified mitigating actions and the post-mitigation priority rating, the project delivery group should determine a risk response for each risk statement. Please refer to the organisations risk appetite statement in the policy Summary (1.1) and Appendix 4. The most likely response to a risk would be to either:

- 1) **Mitigate** – choose to implement the identified mitigating actions and add these as activities within the organisation’s delivery/project’s plan for completion.
- 2) **Accept** – choose to accept the risk to the organisation/project without mitigation and continue to monitor the risk as time/the project progresses.

You may also choose to:

- 3) **Transfer** – choose to move the risk to another party if possible. An example of this would be choosing to lease an expensive piece of equipment rather than buy it outright to transfer the financial risk associated with replacing the equipment completely to the supplier.
- 4) **Avoid** – change your organisational/project objective and plans completely to avoid the risk. An example of this would be choosing to roll out a new clinical system in the summer instead of the winter as originally planned by your project. Due to winter being the busiest time for staff. There may be poor staff attendance at training sessions for the new system which would lead to an ineffective role out of the new system to staff. Moving the role out of the clinical system to summer would avoid this risk completely.

Making a decision on the appropriate risk response is a subjective view and there are many contributing factors which can influence the decision depending on the project. However as a guide, the following risk responses should be taken when considering either to accept or mitigate a risk:

Risk Response based on Initial Priority score only	
Original Priority Score	Risk Response
Less than 8	Accept risk
Between 8-15	Implement mitigation or provide justification as to why the decision was made to accept the risk
More than 15	Implement risk mitigation

Risk Response based on the impact of the mitigating action reducing the Initial Priority score	
Total reduction on Original Priority Score	Risk Response
Mitigating action reduces original priority score by 4 or less	Accept risk if a no more effective mitigation can be identified
Mitigating action will reduce original priority score between 4-6	Implement mitigation or provide justification as to why the decision was made to accept the risk
Mitigating action will reduce original priority score by 7 or more	Implement risk mitigation



Once you have chosen your risk response, accept, mitigate, transfer or avoid must be logged in the current risk position comments column in the risk register template (column W). If the response chosen is accept the risk, record the date this decision was made in the column R in the risk register template.

1.4 An Appropriate Contingency Plan

Identify and populate an appropriate contingency plan, this should detail the actions planned to be taken to deal with the situation, should the risk actually occur (i.e. the 'back-up' plan) either: prior to the mitigating actions being implemented; during the lifecycle of the project, if the decision was made to accept the risk; or should the mitigating action not deliver the desired mitigating effect.

Appendix 2: Risk Identification Techniques

SWOT Analysis

By using the SWOT analysis template below you can identify areas of the organisation/project that may have greater risks and what these may be.

STRENGTHS	WEAKNESSES
OPPORTUNITIES	THREATS

Peer Review

It may be useful to engage an independent expert to review project plans and risks, particularly if the risk assessment founded on the identified risks is to be provided as evidence at a major project decision point. Peer review may also help to provide a final check for consistency in the risk identification process. However, care should be taken to involve the relevant team members so that peer review is not perceived to be a barrier to the aims of open communication.

Brainstorming

Brainstorming captures risks quickly, and offers a means of raising enthusiasm for risk management across a team. It can also be used to engage stakeholders in the risk identification process. Someone will need to take on the facilitator role to ensure that the session is sufficiently well structured and maintains a good pace. Typically the output of a brainstorm is a list of risks, each described by a phrase or sentence indicative of the risk source.

Although widely used by projects, brainstorming sessions do have some limitations. Despite rules designed to encourage equality amongst the participants, the nature of the event can result in bias in favour of the extrovert. This is an issue over which the facilitator has to maintain control. It should also be made clear to the team that a brainstorming session does not mark the only opportunity for individuals to raise risks. As a project progresses/as time goes on, risks evolve and new risks emerge. Risk identification should be a continuous process, and, if this is not recognised, the output from a brainstorming session can dominate the risk register at the expense of new risks.



Appendix 3: Risk/Issue and Mitigation Review Guidance

Section 2.2 'Risk Review Process' and 2.3 'Issue Management Process' outline the process for regular review of risks and the ongoing monitoring. Comments/Latest Status in the Risk Register should be used to update the project/management teams or MBPCC Board on the risk, issue or its mitigations position. When reviewing and monitoring the risks/issues it may be useful to comment (within the Comments/Latest Status cell of the risk register) on the following, where applicable:

Gateways

For high risks or multiple mitigations to reduce risks it may be helpful to break these down into; first (and possibly second and third) and final gateway mitigations. This will enable the Comments/Latest Status section to be used to update on gateways completed and progress towards the overall risk reduction.

Adequacy of control descriptors

These are descriptors that share a rating on the level of adequacy the controls/mitigations have in their effectiveness and whether they operating correctly to help mitigate the risk.

Adequacy Level	Description of level
Fully	Controls are strong and operating properly, providing a reasonable level of assurance that objectives are being delivered.
Moderately	Some control weaknesses/inefficiencies have been identified. Although these are not considered to present a serious risk exposure, improvements are required to provide reasonable assurance that objectives will be delivered.
Minimally	Controls do not meet any acceptable standard, as many weaknesses/inefficiencies exist. Controls do not provide reasonable assurance that objectives will be achieved.
Not at all	Controls do not meet any acceptable standard, as many weaknesses/inefficiencies exist. Controls do not provide any assurance that objectives will be achieved.

Appendix 4: Risk Appetite Matrix



RISK APPETITE FOR NHS ORGANISATIONS A MATRIX TO SUPPORT BETTER RISK SENSITIVITY IN DECISION TAKING

TO USE THE MATRIX: IDENTIFY WITH A CIRCLE THE LEVEL YOU BELIEVE YOUR ORGANISATION HAS REACHED AND THEN DRAW AN ARROW TO THE RIGHT TO THE LEVEL YOU INTEND TO REACH IN THE NEXT 12 MONTHS. 0 - 6

Risk levels	0	1	2	3	4	5
Key elements	Avoid Avoidance of risk and uncertainty is a Key Organisational objective	Minimal (ALARP) (as little as reasonably possible) Preference for ultra-safe delivery options that have a low degree of inherent risk and only for limited reward potential	Cautious Preference for safe delivery options that have a low degree of inherent risk and may only have limited potential for reward.	Open Willing to consider all potential delivery options and choose while also providing an acceptable level of reward (and VFM)	Seek Eager to be innovative and to choose options offering potentially higher business rewards (despite greater inherent risk).	Mature Confident in setting high levels of risk appetite because controls, forward scanning and responsiveness systems are robust
Financial/VFM	Avoidance of financial loss is a key objective. We are only willing to accept the low cost option as VFM is the primary concern.	Only prepared to accept the possibility of very limited financial loss if essential. VFM is the primary concern.	Prepared to accept possibility of some limited financial loss. VFM still the primary concern but willing to consider other benefits or constraints. Resources generally restricted to existing commitments.	Prepared to invest for return and minimise the possibility of financial loss by managing the risks to a tolerable level. Value and benefits considered (not just cheapest price). Resources allocated in order to capitalise on opportunities.	Investing for the best possible return and accept the possibility of financial loss (with controls may in place). Resources allocated without firm guarantee of return – 'investment capital' type approach.	Consistently focussed on the best possible return for stakeholders. Resources allocated in 'social capital' with confidence that process is a return in itself.
Compliance/regulatory	Play safe, avoid anything which could be challenged, even unsuccessfully.	Want to be very sure we would win any challenge. Similar situations elsewhere have not breached compliances.	Limited tolerance for sticking our neck out. Want to be reasonably sure we would win any challenge.	Challenge would be problematic but we are likely to win it and the gain will outweigh the adverse consequences.	Chances of losing any challenge are real and consequences would be significant. A win would be a great coup.	Consistently pushing back on regulatory burden. Front foot approach informs better regulation.
Innovation/Quality/Outcomes	Defensive approach to objectives – aim to maintain or protect, rather than to create or innovate. Priority for tight management controls and oversight with limited devolved decision taking authority. General avoidance of systems/technology developments.	Innovations always avoided unless essential or commonplace elsewhere. Decision making authority held by senior management. Only essential systems / technology developments to protect current operations.	Tendency to stick to the status quo. Innovations in practice avoided unless really necessary. Decision making authority generally held by senior management. Systems / technology developments limited to improvements to protection of current operations.	Innovation supported, with demonstration of commensurate improvements in management control. Systems / technology developments used routinely to enable operational delivery. Responsibility for non-critical decisions may be devolved.	Innovation pursued – desire to 'break the mould' and challenge current working practices. New technologies viewed as a key enabler of operational delivery. High levels of devolved authority – management by trust rather than tight control.	Innovation the priority – consistently 'breaking the mould' and challenging current working practices. Investment in new technologies as catalyst for operational delivery. Devolved authority – management by trust rather than tight control is standard practice.
Reputation	No tolerance for any decisions that could lead to scrutiny of, or indeed attention to, the organisation. External interest in the organisation viewed with concern.	Tolerance for risk taking limited to those events where there is no chance of any significant repercussion for the organisation. Senior management distance themselves from chance of exposure to attention.	Tolerance for risk taking limited to those events where there is little chance of any significant repercussion for the organisation should there be a failure. Mitigations in place for any undue interest.	Appetite to take decisions with potential to expose the organisation to additional scrutiny/interest. Prospective management of organisation's reputation.	Willingness to take decisions that are likely to bring scrutiny of the organisation but where potential benefits outweigh the risks. New ideas seen as potentially enhancing reputation of organisation.	Track record and investment in communications has built confidence by public, press and politicians that organisation will take the difficult decisions for the right reasons with benefits outweighing the risks.
APPETITE	NONE	LOW	MODERATE	HIGH	SIGNIFICANT	

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