

Health service risk assessment tool

Victorian health services performance framework—June 2017

Sample health service risk assessment: Quarter 1—2017–18

Domain	Risk flags			Domain	Risk assessment	Monitoring and intervention (including actions)
	Flag Trend	Risk measures	Flag		Underlying risk factors	
High quality and safe care	<ul style="list-style-type: none"> Hand Hygiene compliance rates HCW Influenza vaccination rates ICU CLABSI rates 	<ul style="list-style-type: none"> High reliance on locums/instability of senior medical workforce 	<ul style="list-style-type: none"> Other flags/concerns from PSPI report 	<p>Comments:</p> <ul style="list-style-type: none"> Three quality and safety KPIs not met this quarter Currently SCV are looking at infection control issues in the hospital Other quality and safety risks in maternity 	<p>Monitoring, support and intervention levels</p> <p>High performer Standard monitoring Performance support Intensive monitoring</p> <p>Reasons for monitoring, support and intervention level</p> <ul style="list-style-type: none"> Potential risk to patient outcomes relating to infection control Cultural and leadership concerns Slow progress on access and financial performance remediation Requires closer monitoring <p>Actions / interventions</p> <p>Performance improvement plan in progress, including:</p> <ul style="list-style-type: none"> recommendations from the culture review seek advice from SCV on infection control issues and progress to remedy must continue to work with the department on the financial and access issues. 	
Strong leadership, governance and culture	<ul style="list-style-type: none"> Presence of bullying (as identified from People Matter Survey) 	<ul style="list-style-type: none"> Board governance (for example: lack of quorum / long-standing gaps; lack of clinical or clinical governance expertise; general inexperience across the board; long tenures; absence of a quality and safety committee) Leadership (for example: long executive tenure; recent executive turnover; poor clinical engagement; poor communication) 	<ul style="list-style-type: none"> Other culture related feedback/concerns 	<p>Comments:</p> <ul style="list-style-type: none"> Recent exec turnover Board governance concerns High bullying rate reported in PMS Report commissioned into culture at the health service 	<p>Reasons for monitoring, support and intervention level</p> <ul style="list-style-type: none"> Potential risk to patient outcomes relating to infection control Cultural and leadership concerns Slow progress on access and financial performance remediation Requires closer monitoring 	
Timely access to care	<ul style="list-style-type: none"> Patient waiting in ED (< 4 hours) Number of patients on the elective surgery waiting list 			<p>Comments:</p> <ul style="list-style-type: none"> Not meeting surgery wait list (but plan in place) Not meeting NEAT target (but very high demand) Most other access indicators OK and no other known issues 		
Effective financial management	<ul style="list-style-type: none"> Operating result Days of available cash 	<ul style="list-style-type: none"> History of financial problems (operating or cash) 		<p>Comments:</p> <ul style="list-style-type: none"> Currently deficit operating position and savings initiatives won't be all achieved (breakeven SOP target) Issues with cash Other finance indicators OK History of lack of discipline in health service to control costs 		

Key to symbols

- Area of concern
- Improving trend (either based on preceding periods or the same period in previous years)
- Worsening trend (either based on preceding periods or the same period in previous years)

Completing the health service risk assessment tool

Assess risk categories by domain

Risk measures

For each domain, calculate risk level.

Less than 10% of targets not met and with worsening trends	Low risk
10–30% of targets not met and with worsening trends	Medium risk
Over 30% of targets not met and with worsening trends	High risk

Underlying risk factors

For each domain, calculate risk level.

No significant risks	Low risk
Some underlying risks	Medium risk
Significant underlying risks	High risk

Third party reports and other intelligence sources

For each domain, calculate risk level.

No major concerns	Low risk
Some concerns	Medium risk
Significant outstanding concerns	High risk

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Domain	Risk flags	Risk measures	Underlying risk factors	Other intelligence sources (including 3rd party reporting)	Risk Rating
High quality and safe care	Flag: Trend	Hand Hygiene compliance rates HCW influenza vaccination rates ICU CLABSI rates	High reliance on locums/instability of senior medical workforce	Other flags/concerns from PSPI report	Medium
Strong leadership, governance and culture	Flag: Trend	Presence of bullying (as identified from People Matter Survey)	Board governance (for example: lack of quorum / long-standing gaps; lack of clinical or clinical governance expertise; general inexperience across the board; long tenures; absence of a quality and safety committee) Leadership (for example: long executive tenure; recent executive turnover; poor clinical engagement; poor communication)	Other culture related feedback/concerns	High
Timely access to care	Flag: Trend	Patient waiting times (4 hours) Number of patients on elective surgery waiting list			Low
Effective financial management	Flag: Trend	Operating result Days of available cash	History of financial problems (operating or cash)		Low

Key to symbols
 Area of concern
 Improving trend (either based on preceding periods or the same period in previous years)
 Worsening trend (either based on preceding periods or the same period in previous years)

See page 1 for detail

Determine risk ratings and performance outcome

Risk rating for each domain of performance

Use the combined risk levels from the left-hand side to determine the risk rating for each domain.

All low risk	Low
Any medium risk, no high risk	Medium
Any high risk	High

Monitoring, support and intervention level

Use the risk ratings for the domains to determine the monitoring and intervention level.

<ul style="list-style-type: none"> Better than target Low risk across all domains Industry leader 	High performer
<ul style="list-style-type: none"> Low risk across all domains OR One or more domains Medium risk with risk mitigation plan for each in place and working 	Standard monitoring (with or without risk mitigation plan)
<ul style="list-style-type: none"> High risk on any domains OR Medium risk with risk mitigation plan in any domain not working 	Performance support
<ul style="list-style-type: none"> High risk on two or more domains 	Intensive monitoring

Domain	Risk rating for each domain	Monitoring and intervention (including actions)
High quality and safe care	Medium Comments: • Three quality and safety KPIs not met this quarter • Currently SCV are looking at infection control issues in the hospital • Other quality and safety risks in maternity	Monitoring, support and intervention levels High performer Standard monitoring Performance support Intensive monitoring Reasons for monitoring, support and intervention level • Potential risk to patient outcomes relating to infection control • Cultural and leadership concerns • Slow progress on access and financial performance remediation • Requires closer monitoring
Strong leadership, governance and culture	High Comments: • Recent executive turnover • Leadership concerns reported in PMS • Concerns noted into culture at the	Actions / interventions Performance improvement plan in progress, including: • recommendations from the culture review • seek advice from SCV on infection control issues and progress to remedy • must continue to work with the department on the financial and access issues.
Timely access to care	Medium Comments: • Not meeting surgery wait list (but plan in place) • Not meeting NEAT target (but very high demand) • Most other access indicators OK and no other known issues	
Effective financial management	Medium Comments: • Currently deficit operating position and savings initiatives won't be all achieved (break-even SOP target) • Issues with cash • Other finance indicators OK • History of lack of discipline in health service to control costs	