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**APPENDIX B: Risk Assessment Tool**

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| **UNIVERSITY HOSPITALS OF DERBY & BURTON NHS FOUNDATION TRUST**  **RISK ASSESSMENT TOOL** | | | | | | | | |
| Division: | |  | | | Site: | |  | |
| Business Unit: | |  | | | Ward/Department: | |  | |
| **Risk Description** | | | | | | | | |
| A Risk of … | |  | | | | | | |
| Caused by … | |  | | | | | | |
| May Result in … | |  | | | | | | |
| **Domains/Descriptors** (Circle as appropriate) | | | | | | | | |
| Impact on the safety of patients, staff or public (physical/ psychological harm) | Quality/complaints/audit | | Human resources/ organisational development  /staffing/competence | | | Statutory duty/ inspections | | |
| Adverse publicity/ reputation | Business objectives/ projects | | Finance including claims | | | Service/  business interruption Environmental impact | | |
| **Summary of current controls in place:** | | | | | | | | |
| *Consider equipment, staffing, environment, policy / procedure, training, documentation, information (this list is not exhaustive)*  *Controls are arrangements and systems that are intended to minimise the likelihood or severity of a risk. An effective control will always reduce the probability of a risk occurring. If this is not the case, then the control is ineffective and needs to be reconsidered. Controls are intended to improve resilience.* | | | | | | | | |
| **Summary of current assurances in place** | | | | | | | | |
| *Provide details of assurances that the control is in place and is operating effectively. These assurances are obtained from a variety of sources, such as management reports, minutes of meetings, internal and external audit and other external assessors such as the Care Quality Commission.* | | | | | | | | |
| **LEVEL OF HARM/CONSEQUENCE  See descriptors below** | | | | **LIKELIHOOD** | | | | |
| Insert domain/descriptor | | **Catastrophic** | | **ALMOST CERTAIN**  Expected to occur at least daily | | | | **>75%** |
| Insert domain/descriptor | | **Major** | | **LIKELY**  Expected to occur at least  weekly | | | | **50-74%** |
| Insert domain/descriptor | | **Moderate** | | **POSSIBLE**  Expected to occur at least  monthly | | | | **25-49%** |
| Insert domain/descriptor | | **Minor** | | **UNLIKELY**  Expected to occur at least  annually | | | | **11-24%** |
| Insert domain/descriptor | | **Negligible** | | **RARE**  Not expected to occur for years | | | | **<10%** |

NPSA Risk Matrix 5x5: -

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  | **Consequence (see below descriptions)** | | | | |
|  |  | **1** | **2** | **3** | **4** | **5** |
| **Likelihood Score** |  | **Negligible** | **Minor** | **Moderate** | **Major** | **Catastrophic** |
| **5 Almost Certain** | 5 | 10 | 15 | 20 | 25 |
| **4 Likely** | 4 | 8 | 12 | 16 | 20 |
| **3 Possible** | 3 | 6 | 9 | 12 | 15 |
| **2 Unlikely** | 2 | 4 | 6 | 8 | 10 |
| **1 Rare** | 1 | 2 | 3 | 4 | 5 |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **IDENTIFY THE LEVEL AT WHICH RISK WILL BE MANAGED** | | | | | | | | | | | | |
| **E** | Extreme risk, immediate action required, reviewed within 1 month | | | | **H** | | High risk, action planned immediately, commenced within one month, reviewed within 3 months | | | | | |
| **M** | Moderate risk, action planned within one month, commenced within three months, reviewed within 6 month | | | | **L** | | Low risk, action planned within three months, reviewed within 1 year | | | | | |
| Action plan of further control measures required: | | | | | | | | | | | | |
| **Priority** | **Action** | | | **Person Responsible** | | | | | | **Date  Started** | | **Date**  **Completed** |
|  |  | | |  | | | | | |  | |  |
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| Target Risk Assessment once all control measures are implemented  ***NB see guidance notes if category remains E, H or M*** | | | | **Level of Harm/  Consequence** | | | **Likelihood** | | **Category  (L, M, H, E)** | | | **Predicted date to reach Target Score** |
|  | | |  | |  | | |  |
| Risk Assessors Name: | |  | Designation: | | |  | | Date: | | |  | |
| Managers Name | |  | Designation: | | |  | | Date: | | |  | |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Review Date | Risk Evaluation | | | | Print  Name & Signature | | Date of next review |
| Level of Consequence | Likelihood | | Category  (E, H, M or L) |
|  |  |  | |  |  | |  |
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|  |  |  | |  |  | |  |
| Risk Assessment Replaced | | | | | | | |
| Name | | | Designation | | | Date | |
|  | | |  | | |  | |