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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 leastweekly | **50-74%** |
| Insert domain/descriptor | **Moderate** | **POSSIBLE**Expected to occur at leastmonthly | **25-49%** |
| Insert domain/descriptor | **Minor** | **UNLIKELY**Expected to occur at leastannually | **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** |
|   |   |   |   |   |
|   |   |   |   |   |
|   |   |   |   |   |
|   |   |   |   |   |
|   |   |   |   |   |
| 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: |  |

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