

TRUST-WIDE NON-CLINICAL POLICY DOCUMENT

RISK ASSESSMENT PROCEDURE

Policy Number:	HS1
Scope of this Document:	All Staff, patients/service users, visitors and contractors
Recommending Committee:	N/A
Approving Committee:	Health and Safety Committee
Date Ratified:	October 2016
Next Review Date (by):	October 2017
Version Number:	2016 – Version 2
Lead Executive Director:	Director of Finance (Deputy Chief Executive)
Lead Author(s):	Senior Safety Advisor

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2016 – Version 2

Quality, recovery and wellbeing at the heart of everything we do

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RISK ASSESSMENT PROCEDURE

Further information about this document:

Document name	RISK ASSESSMENT PROCEDURE (HS1)
Document summary	There is a statutory duty imposed upon employers to carry out suitable and sufficient risk assessments where significant risks may occur from their work activities. Mersey Care NHS is required to control risks in the workplace as part of managing the health, safety and welfare of everyone who the Trust interacts with.
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To be read in conjunction with	Health, Safety and Welfare SA07 Risk Management Policy & Strategy SA02
This document can be made available in a range of alternative formats including various languages, large print and braille etc	
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Version Control:

Version History:		
Approved	2015 Version 1	October 2015
Draft	2016 Version 1.1	August 2016

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SUPPORTING STATEMENTS – this document should be read in conjunction with the following statements:

SAFEGUARDING IS EVERYBODY'S BUSINESS

All Mersey Care NHS Trust employees have a statutory duty to safeguard and promote the welfare of children and vulnerable adults, including:

- being alert to the possibility of child/vulnerable adult abuse and neglect through their observation of abuse, or by professional judgement made as a result of information gathered about the child/vulnerable adult;
- knowing how to deal with a disclosure or allegation of child/adult abuse;
- undertaking training as appropriate for their role and keeping themselves updated;
- being aware of and following the local policies and procedures they need to follow if they have a child/vulnerable adult concern;
- ensuring appropriate advice and support is accessed either from managers, *Safeguarding Ambassadors* or the trust's safeguarding team;
- participating in multi-agency working to safeguard the child or vulnerable adult (if appropriate to your role);
- ensuring contemporaneous records are kept at all times and record keeping is in strict adherence to Mersey Care NHS Trust policy and procedures and professional guidelines. Roles, responsibilities and accountabilities, will differ depending on the post you hold within the organisation;
- ensuring that all staff and their managers discuss and record any safeguarding issues that arise at each supervision session

EQUALITY AND HUMAN RIGHTS

Mersey Care NHS Trust recognises that some sections of society experience prejudice and discrimination. The Equality Act 2010 specifically recognises the *protected characteristics* of age, disability, gender, race, religion or belief, sexual orientation and transgender. The Equality Act also requires regard to socio-economic factors including pregnancy /maternity and marriage/civil partnership.

The trust is committed to equality of opportunity and anti-discriminatory practice both in the provision of services and in our role as a major employer. The trust believes that all people have the right to be treated with dignity and respect and is committed to the elimination of unfair and unlawful discriminatory practices.

Mersey Care NHS Trust also is aware of its legal duties under the Human Rights Act 1998. Section 6 of the Human Rights Act requires all public authorities to uphold and promote Human Rights in everything they do. It is unlawful for a public authority to perform any act which contravenes the Human Rights Act.

Mersey Care NHS Trust is committed to carrying out its functions and service delivery in line with a Human Rights based approach and the FREDA principles of **F**airness, **R**espect, **E**quality **D**ignity, and **A**utonomy

HS1. Risk Assessment Procedure

1. Introduction

Mersey Care NHS Trust (hereinafter referred to as the Trust) is required to control risks in the workplace as part of managing the health, safety and welfare of everyone who the Trust interacts with. To do this we need to think about what might cause harm to people and or the environment and decide whether there are reasonable procedures in place to prevent that harm.

This is known as risk assessment and is a process we are required by law to carry out.

- 1.1 There is a statutory duty imposed upon employers to carry out suitable and sufficient risk assessments where significant risks may occur from their work activities. The law requiring risk assessments can be summarised as follows:
 - a) The implicit requirement to protect employees from harm in (s.2 Health and Safety at Work etc. Act 1974)
 - b) The more stated requirement to protect other people from harm to their health and safety in (s.3 of Health and Safety at Work etc. Act 1974)
 - c) The very specific requirement to perform risk assessments in (s.3 Management of Health and Safety at Work Regulations 1999 (i.e. COSHH and Noise at Work Regulations etc.)
- 1.2 To ensure the risk assessment is suitable and sufficient it must:
 - a) be completed by a 'competent' person. The definition of competent as provided by the Health and Safety Executive is :-
A person who has sufficient training and experience or knowledge and other qualities that allow them to assist you properly.
 - b) correctly and accurately identify the hazards,
 - c) identify those at risk,
 - d) be recorded on a risk assessment form,
 - e) identify any specific legal requirements,
 - f) determine the likelihood and severity of harm,
 - g) take into account any existing controls.
- 1.3 The Trust has developed various risk assessment procedures to allow activities to be assessed and any appropriate remedial actions to be identified.

2. Undertaking a Risk Assessment

2.1 There are no fixed rules about how a risk assessment should be carried out, but first you need to understand what, in your work place, might cause harm to people and decide whether you are doing enough to prevent that harm.

When thinking about your risk assessment, remember:

A hazard is anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer etc.

The risk is the chance, high or low, that somebody could be harmed by these and other hazards, together with an indication of how serious the harm could be.

It is important to remember that a risk assessment is not about creating huge amounts of time-consuming paperwork, but more about identifying practical procedures to control the risks in our workplace.

Once you have decided that, you need to identify and prioritise putting in place, appropriate and sensible control measures.

The Trust uses the standard HSE approved method of assessment - the five step process:

- a) Identify the hazards
- b) Decide who might be harmed
- c) Evaluate the risk
- d) Record the findings
- e) Monitor and review

2.2 Risk assessments will take into consideration:

- a) Those normally involved in the task and others who could be particularly affected e.g. other staff, patients, public, contractors, emergency services etc.
- b) Any group of people who could be particularly at risk i.e. pregnant women/new mothers, young/old people, disabled etc.
- c) All aspects of the work activity are reviewed including both routine and non-routine activities i.e. maintenance or cleaning.
- d) Reasonably foreseeable emergency situations.

Managers and competent staff will undertake all risk assessments.

2.3 Risk assessments are required where:

- a) Existing work activities represent significant risks or hazards
- a) New activities or equipment are introduced into the workplace.

2.4 Risk assessments will be reviewed:

- a) At least annually

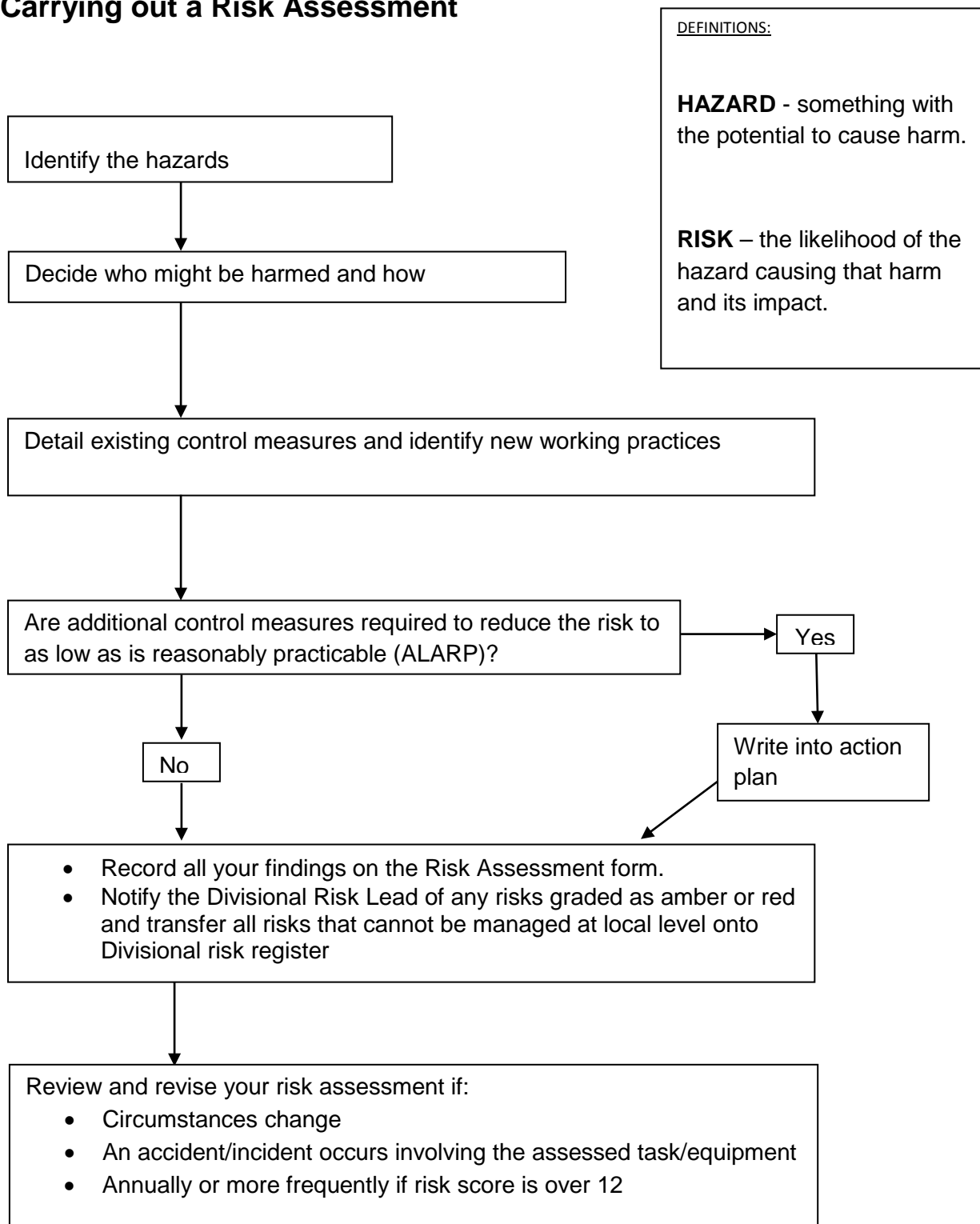
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- b) As part of any post incident investigation
- c) When circumstances necessitate.

2.5 Divisional Risk Leads will liaise with local managers and the Trust Safety Team to ensure that sufficient and competent Risk Assessor(s) are trained and available to cover operational requirements.

2.6 The flowchart below is an easy to follow guide to the risk assessment process.

Carrying out a Risk Assessment



Identify the hazards

Decide who might be harmed and how

Detail existing control measures and identify new working practices

Are additional control measures required to reduce the risk to as low as is reasonably practicable (ALARP)?

Yes

Write into action plan

No

- Record all your findings on the Risk Assessment form.
- Notify the Divisional Risk Lead of any risks graded as amber or red and transfer all risks that cannot be managed at local level onto Divisional risk register

Review and revise your risk assessment if:

- Circumstances change
- An accident/incident occurs involving the assessed task/equipment
- Annually or more frequently if risk score is over 12

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2.7 Further guidance can be obtained from

- a) Divisional Risk Lead
- b) Trust Safety Team
- c) Staff side representatives

2.8 The risk matrix used to calculate the Risk Rating is the Australian Risk Management Standard matrix (AS/NZS 4360:1999). This risk rating then forms the quantitative basis upon which to determine the urgency of any actions.

The table below provides guidance on the risk rating level and associated urgency of action required.

Likelihood	Severity or Impact (if in doubt grade up, not down)				
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost certain (5)	5	10	15	20	25
Likely (4)	4	8	12	16	20
Possible (3)	3	6	9	12	15
Unlikely (2)	2	4	6	8	10
Rare (1)	1	2	3	4	5

RISK RATING  Low (1-3)  Moderate (4-6)  High (8-12)  Extreme (15-25)

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The following scale will be utilised to determine impact within the risk matrix:

1. Insignificant	
Risk Impact Area	Impact Measure
Injury/Harm=	Minor cuts/bruises
Service Continuity=	Minor loss or non-critical service
Quality=	Minor non-compliance of standards
Costs=	<£2K
Litigation=	Minor out-of-court settlement
Reputation/Publicity=	Within unit, local press < 1 day of coverage
2. Minor	
Risk Impact Area	Impact Measure
Injury/Harm=	First Aid Treatment, <3 days absence < 2 days extended hospital stay
Service Continuity=	Service loss in a number of non-critical areas < hours or 1 area <6 hours
Quality=	Single failure to meet internal standards or follow protocols
Costs=	£2K - £20K
Litigation=	Civil action- with or without defence, improvement notice
Reputation/Publicity=	Regulatory concern, Local media < 3 days of coverage
3. Moderate	
Risk Impact Area	Impact Measure
Injury/Harm=	Medical Treatment required, >3 days absence >2 days extended hospital stay
Service Continuity=	Loss of services in any critical area
Quality=	Repeated failures to meet internal standards or follow protocols
Costs=	£20K-£1M
Litigation=	Class Action, Criminal prosecution, prohibition notice served.
Reputation/Publicity=	National media <3 days of coverage; Department executive action.
4. Major	
Risk Impact Area	Impact Measure
Injury/Harm=	Fatality; Permanent Disability; Multiple Injuries
Service Continuity=	Extended loss of essential services in more than one critical area

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Quality=	Failure to meet national standards
Costs=	£1M-£5M
Litigation=	Criminal prosecution-no defence, Executive Officer fined or imprisoned
Reputation/Publicity=	National media>3 days of coverage; MP concern, Questions in House
5. Catastrophic	
Risk Impact Area	Impact Measure
Injury/Harm=	Multiple Fatalities
Service Continuity=	Loss of multiple essential services in critical areas
Quality=	Failure to meet national professional standards
Costs=	>£5M
Litigation=	Imprisonment of Trust Executive
Reputation/Publicity=	Full public inquiry

The following scale will be used to determine likelihood within the matrix:

Likelihood Level	Likelihood Measure
5= Almost certain	Likely to occur on many occasions, a persistent issue-1 in 10.
4= Likely	Will probably occur but is not a persistent issue – 1 in 100
3= Possible	May occur/recur occasionally-1 in 1000
2= Unlikely	Do not expect it to happen but it is possible – 1 in 10,000
1= Rare	Can't believe this will ever happen – 1 in 100,000

6. Generic Risk Assessments

6.1 The Trust has developed a Generic Risk Assessment procedure to allow assessment to be made of work related activities, where there is no specific assessment procedure in place. Risk assessments will be reviewed annually, and as part of any post incident investigation.

6.2 All generic risk assessments will be undertaken by competent assessors, using the generic risk assessment form where there is no specific form in use.

6.3 Other risks will be assessed using specific risk assessment formats (e.g. Display Screen Equipment (DSE) and Control of Substances Hazardous to Health (COSHH).

6.4 Safety Partnership Agreement (SPA) Generic Risk Assessment Checklist

Hazard:	Significant Risk Requiring Work Activity Assessment
Violence and Aggression	Yes/No
Contamination by Bodily Fluids	Yes/No
Manual Handling (Generic)	Yes/No
Night Work	Yes/No
Departmental Stress	Yes/No
Lone Working	Yes/No

NB: if these hazards create a significant risk to workplace health, safety and welfare a specific risk assessment will be needed for the associated work activity. All risk assessments should take into account if employees may be/become pregnant.

7. Monitoring

7.1 In addition to Risk Assessments being reviewed procedural effectiveness will also form part of the SPA Audit. The results of such Audits are discussed at the Health & Safety Committee meetings. The H&S Committee will thus monitor and review compliance with this Procedure

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Risk Assessment Tool

Part A

Operation/Activity:	
Location:	

Persons at Risk (tick appropriate boxes)

Employee
Visitor
General Public
Young Persons

✓
✓
✓

Pregnant Women
Disabled Persons
Lone Workers
Others

✓
✓
✓

GUIDE TO RATINGS:

RISK SEVERITY	RISK LIKELIHOOD	RISK RATING
1 Negligible	1 Unlikely	1 - 3 Low
2 Minor	2 Possible	4 - 6 Moderate
3 Significant	3 Quite Possible	8 - 12 High
4 Major	4 Likely	15 - 25 Extreme
5 Catastrophic	5 Very Likely	

Overall Risk Rating =

Calculated by Total Risks Score / Number of Risks

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Part B

Describe the hazards associated with the activity/operation

Hazard	Who Might be Harmed and How?	Existing Controls What are we doing already?	Risk Likelihood (L) Severity (S) (L x S)	What further controls are required?	Action By Whom & When	Residual Risk Rating
<i>E.G. Spills</i>	<i>Staff, Visitors</i>	<i>All spills reported to Facilities immediately, FMA trained in accordance with Trust policy SA16 – Cleaning Standards</i>	<i>3X5 =15</i>	<i>Advise visitors of process on attending ward.</i>	<i>Team Manager 31/12/2015</i>	<i>2X5 = 10</i>

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Hazard	Who Might be Harmed and How?	Existing Controls What are we doing already?	Risk Likelihood (L) Severity (S) (L x S)	What further controls are required?	Action By Whom & When	Residual Risk Rating

Assessed By:	Date:
Monitored By:	Date:

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Part B

Personnel Informed of Risk Assessment Content

Personnel Informed of Risk Assessment Content, Received and Understood		
Name	Signature	Date

RISK ASSESSMENT FURTHER ACTION PLAN

The person nominated to undertake the action(s) must contact the Risk Assessor to update them when the action, for which they are responsible for implementing, has been completed.

Part C

Hazard	Further Action Required	By whom	Timescale	Results

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Using the Risk Assessment Tool

1. Complete details in Part A
2. Part B - Identify the hazards and list them (add more if required)
3. Calculate the Risk Rating using the Risk Matrix tool, when using existing controls measures
4. List any additional control measures required to reduce the risk rating to as low as reasonably practicable (ALARP)
5. Calculate the Residual Risk using the Risk Matrix Tool
6. Copy this information to the cover summary boxes (Part D)

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Equality and Human Rights Analysis

Title:

HS1 Risk Assessment Procedure

Area covered: Trust Wide

What are the intended outcomes of this work?

To review the Health And Safety Procedures above.

The procedures above are paramount to maintaining the health and safety and welfare of everyone who the Trust interacts with.

To do this we need to think about what might cause harm to people and or the environment and to consider the procedures in place to provide this protection.

Risk assessments are required by law.

The Health and Safety at Work etc. Act 1974, the Management of Health and Safety at Work Regulations 1999 and the Construction (Design and Management) Regulations 2015 impose duties to safeguard the health and safety of those who are not in the employment of Mersey Care NHS Trust, but who may be affected by our activities. These duties also apply to a contractor or sub-contractor on Trust premises, in respect of safeguarding our employees, patients and visitors from their activities.

Who will be affected?

Staff, Patients, Service Users, Visitors, Contractors.

Evidence

What evidence have you considered?

The Procedures

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<p>Disability including learning disability</p> <p>Risk assessments will consider a range of vulnerable groups including those who have disabilities.</p>
<p>Sex</p> <p>No issues identified within discussions.</p>
<p>Race</p> <p>No issues identified within discussions.</p>
<p>Age</p> <p>Risk assessments will consider a range of vulnerable groups including younger/older people.</p>
<p>Gender reassignment (including transgender)</p> <p>No issues identified within discussions.</p>
<p>Sexual orientation</p> <p>No issues identified within discussions.</p>
<p>Religion or belief</p> <p>No issues identified within discussions.</p>
<p>Pregnancy and maternity</p> <p>Risk assessments will consider a range of vulnerable people including pregnant women/new mothers.</p>
<p>Carers</p> <p>Will be covered by the procedures above when visiting the Trust buildings.</p>
<p>Cross Cutting</p> <p>All groups of people will be subject to health and safety and protection.</p>
<p>Other identified groups</p> <p>No issues identified within discussions.</p>

Human Rights	Is there an impact? How this right could be protected?
This section must not be left blank. If the Article is not engaged then this must be stated.	
Right to life (Article 2)	Human Rights Based Approach Supported. The above procedures aim to maintain the health and safety (including life) of all people using /working/visiting the Trust premises.
Right of freedom from inhuman and degrading treatment (Article 3)	No Issues identified within Discussions.
Right to liberty (Article 5)	No Issues identified within Discussions.
Right to a fair trial (Article 6)	No Issues identified within Discussions.
Right to private and family life (Article 8)	No Issues identified within Discussions.
Right of freedom of religion or belief (Article 9)	No Issues identified within Discussions.
Right to freedom of expression	No Issues identified within Discussions.

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Note: this does not include insulting language such as racism (Article 10)	
Right freedom from discrimination (Article 14)	No Issues identified within Discussions.

Engagement and involvement
N/A

Summary of Analysis
<p>Eliminate discrimination, harassment and victimisation The procedures above all relate to health and safety of all people using/ visiting/working the Trust. Pregnant women/ mothers of new born babies People with Disabilities Younger /older people are identified as vulnerable groups within the procedures.</p>
<p>Advance equality of opportunity N/A</p>

<p>What is the overall impact? No negative/adverse impact detected.</p>
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<p>Addressing the impact on equalities N/A</p>

<p>Action planning for improvement N/A</p>

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For the record

Name of persons who carried out this assessment:

George Shield

George Sullivan

Anthony Crumpton

Date assessment completed: 09.November.2015

Reviewed: 06/09/16

Name of responsible Director/Lead Trust Officer

Executive Director of Finance (Deputy CEO)

Date assessment was signed:

November 2015

Action plan template

This part of the template is to help you develop your action plan. You might want to change the categories in the first column to reflect the actions needed for your policy.

Category	Actions	Target date	Person responsible and their Division
Other			
Data collection and evidencing			
Analysis of evidence and assessment			
Monitoring, evaluating and reviewing			
Transparency (including publication)			