

Risk Assessment Procedure

Version: 3

Summary:	In order to comply with “The Management of Health and Safety at Work Regulations” and fulfil its statutory responsibility, Southern Health NHS Foundation Trust (SHFT) must make sure that all tasks and activities have suitable and sufficient risk assessments in place, and are proportionate to the risk.	
Keywords:	Health, Safety, Risk, Risk Assessment	
Target Audience:	All Staff, Agency Workers, Temporary Staff, Volunteers, Contractors, Service Providers who undertake workplace risk assessments	
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VERSION CONTROL

Change Record

Date	Author	Version	Page	Reason for Change
25-01-2017	Brent Schwarz	1	Full Document	New Procedure
13-02-2018	Brent Schwarz	2	Full review	Title change. Minor updates to Definitions and Responsibilities, section 4 title change to Arrangements. Review date extended for further year
26.3.19		3		Minor amendments to wording. Updated formatting. Added appendix 2. Review date re-set for 1 year

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Quick Reference Guide

All tasks and activities have a suitable and sufficient risk assessment in place, and are proportionate to the risk.

That risk assessments consider who might be harmed including others who may be affected by SHFT activities.

Action plans are produced to reduce risk to as low as is reasonably practicable.

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Risk Assessment Procedure

1. Definitions

1.1 Health and Safety Guardian (HSG)

HSG(s) are an integral part of the Health and Safety Culture within the Trust and lead on all Health, Safety and Wellbeing items within their respective Business Units / Departments. Assisting the Director responsible for Health and Safety to deliver a Healthy, Safe and Secure workplace for employees and others. The HSG(s), who represent the employer, are in place to support the Health, Safety and Wellbeing of the employees.

The HSG are Senior Manager(s) within the Trust who have sufficient authority, to drive and promote Health, Safety and Wellbeing through their respective Business Units / Department and would normally be a Band 7 and above and have budgetary control.

1.2 Health and Safety Ambassador (HSAM)

HSAM(s) primarily assist HSG(s) with their responsibilities in relation to Health, Safety and Wellbeing throughout the Department / Service and provide a representation for employees on Health, Safety and Wellbeing.

The HSAM(s) are Managers / Supervisors within the Business Units / Departments who drive and promote Health, Safety and Wellbeing through their respective service areas and would normally be a Band 5 and above.

1.3 Health and Safety Associates (HSAS)

HSAS(s) primarily liaise and represent employees regarding Health, Safety and Wellbeing and act as the link between employer and employee. HSAS(s) are normally elected by fellow staff to represent the views of a team / or staffing group and are important to staff engagement and consultation with regards to their Health, Safety and Wellbeing.

The HSAS(s) are non-union representatives and can be any band within the service or team.

1.4 Health and Safety Representatives (HSR)

HSR(s) represent employees who are a part of a union, regarding Health, Safety and Wellbeing and act as the link between employer and employee. HSR(s) are appointed by recognised trade union(s) to represent the views of unionised employees.

1.5 Responsible Person (RP)

A RP is nominated for every Trust premises within their control, and has specific responsibilities with regards to managing Fire Safety within these premises. Business Units/Departments liaise in making the appointment where there are employees of more than one Business Unit/Departments within the premises.

The RP's are Senior Manager(s) within the Trust who have sufficient authority, to manage fire safety within the premises and would normally be a Band 7 and above and have budgetary control.

1.6 Health and Safety Legislation (HSL)

HSL means any statutory provision (e.g. Law, Act, Regulation) dealing with Health and Safety matters which place duties and responsibilities on employers and of which employers need to comply with.

1.7 Risk Assessor (RA)

RA means, a person who is competent i.e. a combination of training, qualification, experience, knowledge and understanding, in the principles of evaluating risk and who carries out risk assessments for the service, team, area, activities or tasks.

2. Responsibilities

2.1 Every Director / Head of Service is accountable to the Trust Board for all matters relating to Health, Safety and Welfare of employees and those affected by SHFT's operations. In particular they will ensure:

- Managers carry out their roles and responsibilities as laid out in this arrangement.
- Risk Assessments are undertaken on all SHFT's work activities where necessary, any significant risk must be recorded following the Trust's risk assessment process.
- Work activities that are assessed as being 'High Risk' are escalated as necessary to the appropriate level of the Trust for action i.e. Trust Board and / or Divisional Management Team and where necessary, the appropriate committee(s).
- Each medium or high risk identified throughout SHFT is considered for inclusion on the risk register at the appropriate level.

2.2 Each Lead / Senior Manager / Manager is responsible for his / her personal safety and that of all personnel under his or her authority, including others who may be affected by SHFT's activities. In particular they will ensure:

- There are sufficient trained and competent Risk Assessors.
- Risk Assessors assess all activities / tasks where there is significant risk using the Health and Safety Executive's "Five Steps to Risk Assessment Guide" and in consultation with employee health and safety representatives.
- All significant risks are reduced to a level which is as low as is reasonably practicable by the identification and implementation of additional risk control measures following the hierarchy of control.
- That work activities that are assessed as being 'High Risk' should be drawn to attention of the Senior Management Team and / or Trust Board for action.
- Whether the risks identified should be included on SHFT's Risk Register for management and review via this process.
- All Risk Assessments are quality assured to ensure they are based on facts.
- Risk control action plans are implemented.
- Risk Assessments are recorded, signed and dated by the appropriate individuals.
- When a Risk Assessment is updated, the previous version of the Risk Assessment is retained in accordance with SHFT's Retention Policy.
- Risk controls are monitored for suitability and effectiveness, and assessments reviewed at a maximum term, not exceeding once in 12 months.
- Employees and those affected by risks are informed of the outcomes of Risk Assessments and the associated risk control measures.
- Hazard and risk information is given to Contractors / Service Providers who are affected.
- Risk assessments are undertaken of any new additional risks arising from SHFTs activities.

2.3 Employees are responsible for their own health and safety and that of others who may be affected by their acts or omissions, and have a duty to co-operate with the employer i.e. SHFT, to enable SHFT to discharge its own responsibilities successfully. To achieve this, all employees must ensure:

- They follow the findings of the Risk Assessments and controls put in place to manage the risk in relation to their work.
- They assist in the development of Risk Assessments where requested to do so.
- They report to Management any issues / concerns / faults relating to control measures put in place to manage health and safety risk.
- Carryout Dynamic Risk Assessment(s) where necessary.

2.4 Risk Assessors are responsible for undertaking suitable and sufficient risk assessments of SHFT's activities within their remits, and have a duty to co-operate with the employer i.e. SHFT, to enable SHFT to discharge its own responsibilities successfully. To achieve this, all Risk Assessors, in particular will:

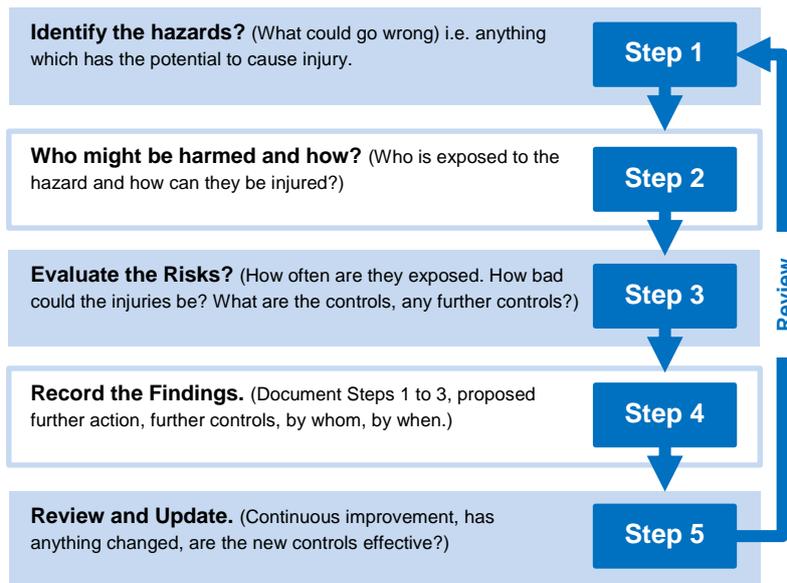
- Undertake and facilitate suitable and sufficient Risk Assessments on activities / tasks as directed by their line manager, involving the workforce and consulting with Health and Safety Representatives.
- Identify and recommend additional risk control measures required to reduce the risk to a level which is as low as is reasonably practicable.
- Recommend the review period for Risk Assessments not exceeding at least once in 12 months and in accordance with the risk level.
- Record the Risk Assessment in writing, ensuring it is signed and dated.
- Understand their own level of competence and seek specialist advice / assistance when required.
- Maintain their competency in undertaking risk assessments where required to do so by means of training provided.
- Review the relevant Risk Assessments following a significant change in circumstances and or / significant event e.g. incident.

3. Arrangements

3.1 SHFT have adopted the 'Five Steps to Risk Assessment' approach in accordance with the enforcing authority's i.e. Health and Safety Executive (HSE), guidance. The HSE provide free downloadable information regarding [Risk Assessment](#), on the principles of controlling risk and how to carry out a Risk Assessment.

3.2 The complexity of the task / activity will determine the depth of the assessment process and who may be included. The five step approach, should form the basis of the risk assessment process;

- Conduct a task / activity analysis to identify tasks or activities that require Risk Assessment.
- Based on these, identify the hazards for each. (Further Guidance, [Hazard Identification](#))
- Decide who and how they might be harmed. (Further Guidance, [Who / How](#))
- Evaluate the risks to those who may be harmed. (Further Guidance, [Evaluate Risks](#))
- Record i.e. document, the findings. Set a review date (Not exceeding the maximum term of once in a 12 month period). (Further Guidance, [Record](#))
- Review the assessment and update as necessary (Archive the previous according to SHFT retention Policy and for evidential purposes). (Further Guidance, [Review](#))



3.3 Managers must review the completed Risk Assessment, quality assure and evaluate the risk. If in agreement with the risk assessor’s recommendations, signoff the Risk Assessment and implement the action plan. Risk Evaluation is an integral part of the assessment and assists in prioritising risks.

3.4 Provision for Dynamic Risk Assessment(s) (DRA) must be made i.e. local arrangement in accordance with the level of risk for that task or activity.

- DRA compliments the Workplace Risk Assessment and must be completed at the time of the task and / or activity. (DRAs take place within a framework that enables individuals to respond to changing circumstances.)
- A DRA is defined as: “continuous assessment of risk in the rapidly changing circumstances of an operation event, in order to implement the controls measures necessary to ensure an acceptable level of safety”

3.5 The following tables provide a guide for risk assessors in relation to the evaluation of risk, Likelihood, Impact and Actions;

Table 1 – Risk Evaluation							
Table 3 – Impact / Severity	Catastrophic	5	5	10	15	20	25
	Major	4	4	8	12	16	20
	Moderate	3	3	6	9	12	15
	Low	2	2	4	6	8	10
	Negligible	1	1	2	3	4	5
Risk = Table 2 - Likelihood x Table 3 - Impact			1	2	3	4	5
			Extremely Unlikely	Unlikely	Possible	Likely	Almost Certain
			Table 2 – Likelihood / Probability				

Table 2 – Likelihood / Probability

1	Extremely Unlikely	Less than 20%	Once every two years or more	Rare / Low
2	Unlikely	20% to 39%	Once a year	Unlikely / Low to Medium
3	Possible	40% to 59%	Once a Month	Possible / Medium
4	Likely	60% to 79%	Once a Week	Likely / Medium to High
5	Almost Certain	80% or more	Once a Day or more	Almost Certain / High

Table 3 – Impact / Severity

1	Negligible	No / Minor Injury / Minimal loss / No time off work	Low
2	Low	Minor Injury / Some loss / 3 or Less days off / Some Damage	Low to Medium
3	Moderate	Injury / 4 or more days off / Damage / Loss / RIDDOR Incident	Medium
4	Major	Long term injury / irreversible injury / serious damage or loss / RIDDOR Incident	Medium to High
5	Catastrophic	One or more fatalities / irreversible injury / substantial damage or loss / RIDDOR Incident	High

Action Guide

Risk Rating			Action Level	Action time scale	Remedial Action Owner	Decision to Accept Risk
Green	Low	1 to 4	Observations	12 months or more	Ward / Department Manager	Ward / Departmental Management
Yellow	Low to Medium	3 to 6	Recommendations / Continuous Improvement	6 to 12 months	Care Group / Department Manager	Departmental Management
Orange	Medium	4 to 10	Further Additional Controls	3 to 5 months	Divisional Manager	Divisional Management
Red	Medium to High	5 to 12	Further Additional Controls / Process, Task, Activity Review / Escalation	2 weeks to 2 Months	Divisional Manager / Executive Director	Divisional Manager / Executive Director via Health & Safety Forum
Deep Red	High	10 to 25	Major Review / Escalation / Prohibit	Immediate to 2 weeks	Executive Director	Executive Director via ARC / Board

3.6 The following map, is the suggested flow of the assessment process;

The risk assessor and Multi-Disciplinary Team (MDT) review the process map. The person who knows most about the activity or activities describes them and includes: inputs (e.g. clinical information on patient); Outputs (e.g. GP knows which patients need treatment or investigations); Resources used (e.g. treatment centre and nursing staff); Controls (e.g. protocol and patient assessment tools).

Team (The team should consist of the necessary relevant people, could be a single assessor alone or a team) review the prompts, the 'what if' questions, and further develop the relevant hazards and risks. The risk assessment may require a multi-disciplinary team, clinical and non-clinical participants.

The risk assessor and MDT select a hazard to assess. Consider the activity / task within the context of the environment, and the culture of the organisation and the staff who perform the activity / task. Take into account things that have gone wrong in the past and near-miss incidents. Walk around the workplace or clinical area and talk to patients and staff. Map or describe the activity to be assessed.

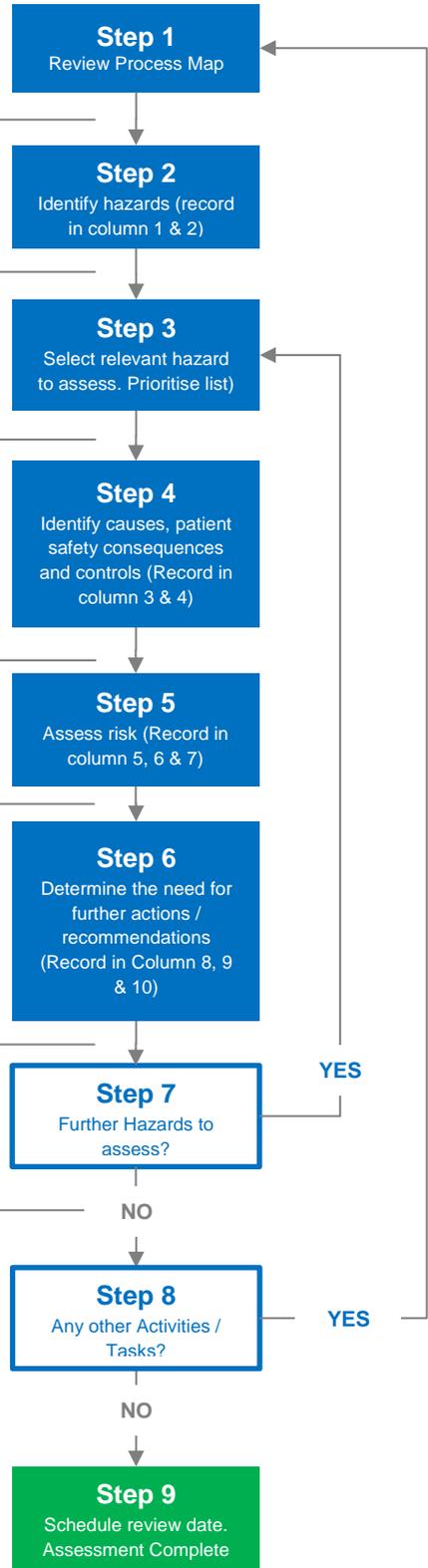
The team identify potential causes, consequences and controls for the selected hazard. (The leader should guide the team to focus on significant causes and consequences to be efficient and effective). It is necessary to anticipate some degree of human error and try to prevent the error from resulting in harm. Consider the number of patients / staff that might be affected over a stated period of time. When quoting the number of patients / staff affected you should always state the length of the assessment period. Think about the complexity of the task.

The team assess the hazard's risks using the risk matrix, and determines if further mitigation is required. Further mitigation (see step 6) should be considered wherever the risks are assessed as medium or high.

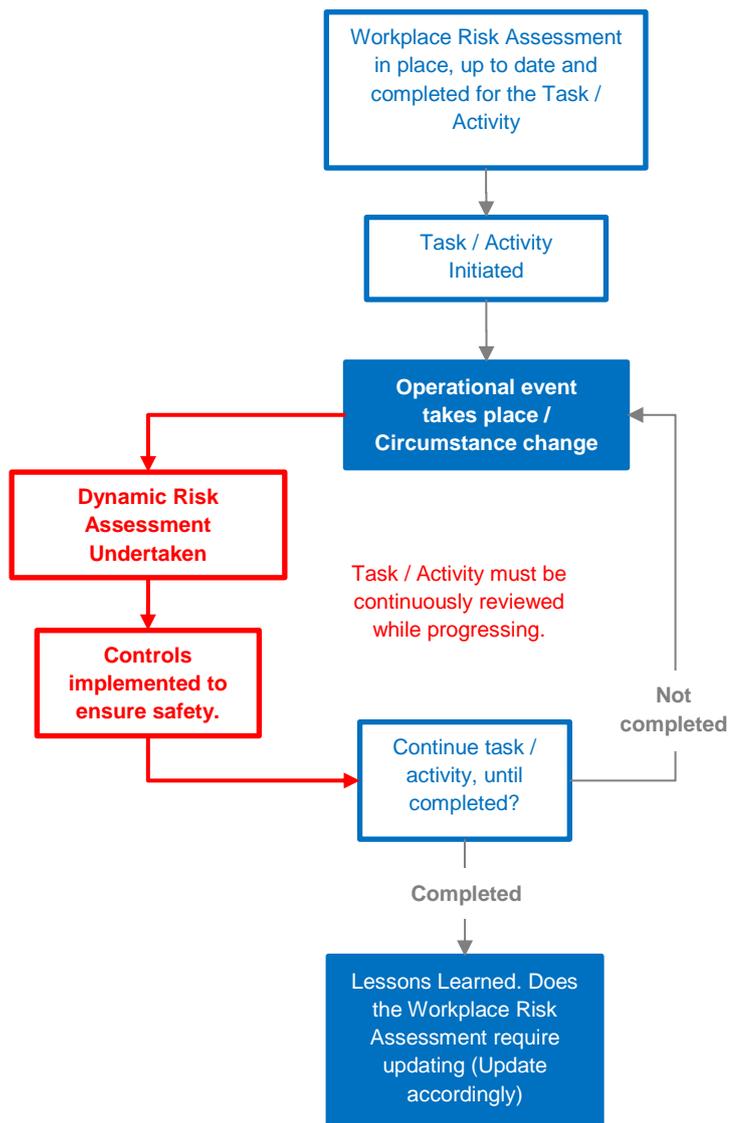
The team develop relevant recommendations to control the risks, hazards, and re-assess the risk with these recommendations in place once implemented. If the risk is still high, further recommendations should be developed. If the team cannot identify any practical means of mitigating the risk, the risk should be escalated for acceptance in accordance with the organisation's risk management.

Repeat steps 3 to 6 until all the hazards relevant to the activity(ies) have been assessed.

Repeat steps 1 to 8 until all the activities have been assessed.



3.7 The following map, is the suggested flow of the dynamic assessment process;



4. Training Requirements

- All staff undertaking risk assessment will be provided with Risk assessment training in line with industry standards, by either e-learning or face to face or a combination of both. Attendance will be recorded and monitored.
- All candidates will be assessed to ensure that the fundamentals of risk assessment are understood and each candidate is provided with the necessary skills to undertake risk assessments.
- The Health and Safety Department will assess the need for additional training as necessary.
- All training will be recorded as a part of each Individual's training record.
- Risk Assessors must undertake Full baseline Risk Assessment Training at a minimum frequency of once 3 yearly.
- Risk Assessors must undertake a Risk Assessment refresher training yearly i.e. year 2 and year 3.

5. Monitoring Compliance

A Health and Safety Report will be presented to the Health and Safety Forum and Trust Board. It will summarise the Trust's Health and Safety performance against this Policy and subsequent procedures, including:

- A report of the Trusts Risk Assessments, which have been cross checked by the Health and Safety Department and any areas of no compliance.
- Benchmarking activities internally and externally.
- Proactive and reactive monitoring tools by departments and by the Health and Safety Department, including self-auditing and cross auditing.
- General Service visits by the Health and Safety Department.

6. Main Legislation relevant to this document.

Health and Safety at Work etc Act

The Management of Health and Safety at Work Regulations

7. Associated Trust Documents

- Health and Safety Policy
- Managing Health and Safety Procedure
- SHFT Risk Appetite
- SHFT Risk Management and Policy

8. Contact Address's and Guidance Links

Health and Safety Executive
www.hse.gov.uk

National Patient Safety Agency
<http://www.npsa.nhs.uk/>

Southern Health NHS Foundation Trust Corporate Health and Safety
Corporate Health and Safety

Appendix 1: Training Needs Analysis

If there are any training implications in your policy, please make an appointment with the LEaD department (Louise Hartland, Quality, Governance and Compliance Manager on 02380 874091) to complete the TNA **before** the policy goes through the Trust policy approval process.

Training Programme	Frequency	Course Length	Delivery Method	Facilitators	Recording Attendance	Strategic & Operational Responsibility
Risk Assessment	3 year cycle i.e. Year 1 = Full Year 2 = Refresher Year 3 = Refresher	Full Course = Half Day Refresher Course = 1 Hour	Face to Face and E-Learning	Health & Safety Advisors	LEaD	Strategic – Chief Financial Officer Operational - Health & Safety Manager
Directorate	Service	Target Audience				
Business Unit 1	All	All Risk Assessors				
Business Unit 2	All	All Risk Assessors				
Business Unit 3	All	All Risk Assessors				
Business Unit 4	All	All Risk Assessors				
Business Unit 5	All	All Risk Assessors				
Mental Health	All	All Risk Assessors				
Specialised Services	All	All Risk Assessors				
Corporate Services	All	All Risk Assessors				
Learning Disabilities	All	All Risk Assessors				

Appendix 2: Risk Assessment Form



Risk Assessment Form

Please refer to website for current version