

Appendix B

1. RISK ASSESSMENT FORM – Initial Assessment of Risk	Risk Register ID No. <i>(allocated by DATIX)</i>	
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Speciality/ Department / Ward:	Risk Assessor:	Date of initial assessment:	
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Risk Type: <i>(Please tick)</i>	Clinical <input type="checkbox"/>	Financial <input type="checkbox"/>	Organisational (Including H&S) <input type="checkbox"/>	Project <input type="checkbox"/>	Source of Review: <i>(Board, Committee, Group monitoring risk)</i>	Source of Risk: <i>(Specialty Risk Assessment, Incident Reports, NHSLA, NSF, Service Plan, Waiting times etc)</i>
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DESCRIPTION OF RISK <i>(e.g. what hazard exists, what potential harm might be caused, to whom?)</i>	Existing Controls <i>(Brief notes)</i>
	Adequacy Of Existing Controls <i>(Please tick)</i> A = Adequate <input type="checkbox"/> I = Inadequate <input type="checkbox"/> U = Uncertain <input type="checkbox"/>

RISK SCORE <i>(See guidance notes) (Please tick)</i>	RISK RATING SCORE <i>(Consequence x Likelihood)</i>	LEVEL OF RISK <i>(See Guidance Notes) (please tick)</i>	Risk Treatment Plan <i>(Please tick one)</i>												
<table style="width: 100%;"> <tr> <td style="width: 50%;">Consequences (C)</td> <td style="width: 50%;">Likelihood (L)</td> </tr> <tr> <td>Catastrophic 5 <input type="checkbox"/></td> <td>Certain 5 <input type="checkbox"/></td> </tr> <tr> <td>Major 4 <input type="checkbox"/></td> <td>Likely 4 <input type="checkbox"/></td> </tr> <tr> <td>Moderate 3 <input type="checkbox"/></td> <td>Possible 3 <input type="checkbox"/></td> </tr> <tr> <td>Minor 2 <input type="checkbox"/></td> <td>Unlikely 2 <input type="checkbox"/></td> </tr> <tr> <td>Negligible 1 <input type="checkbox"/></td> <td>Rare 1 <input type="checkbox"/></td> </tr> </table>	Consequences (C)	Likelihood (L)	Catastrophic 5 <input type="checkbox"/>	Certain 5 <input type="checkbox"/>	Major 4 <input type="checkbox"/>	Likely 4 <input type="checkbox"/>	Moderate 3 <input type="checkbox"/>	Possible 3 <input type="checkbox"/>	Minor 2 <input type="checkbox"/>	Unlikely 2 <input type="checkbox"/>	Negligible 1 <input type="checkbox"/>	Rare 1 <input type="checkbox"/>		Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Extreme <input type="checkbox"/>	Accept risk Monitor and review Planned review date above <input type="checkbox"/> Planned date of review Do not accept risk See Risk Action Plan attached <input type="checkbox"/> Planned date of review
Consequences (C)	Likelihood (L)														
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Minor 2 <input type="checkbox"/>	Unlikely 2 <input type="checkbox"/>														
Negligible 1 <input type="checkbox"/>	Rare 1 <input type="checkbox"/>														

3. RISK ACTION PLAN

Risk Register ID No.
(allocated by DATIX)

For initial risk assessment attached (Please tick) or for updated risk assessment attached (Please tick) **Action plan see over**

LEAD MANAGER TO IMPLEMENT PLAN:

DATE PLAN CREATED:

TREATMENT OPTIONS SELECTED: (Tick any that apply)

- Avoid
- Reduce consequences
- Reduce Likelihood
- Transfer all risks
- Transfer part of risk

TARGET RISK RATING AFTER ACTION PLAN IMPLEMENTED

(see guidance notes for risk assessment in risk register)

Consequences (C)		Likelihood (L)	
Catastrophic	5	Certain	5
Major	4	Likely	4
Moderate	3	Possible	3
Minor	2	Unlikely	2
Negligible	1	Rare	1

RISK RATING SCORE
(C x Li)

Target Level of Risk
(See Guidance Notes)
(please tick)

- Moderate
- High
- Extreme
- Low

REPORTING AND MONITORING ARRANGEMENTS (which groups e.g. specialty meetings, project board etc)

ANTICIPATED RESOURCE IMPLICATION

4. RISK REGISTER – RE-ASSESSMENT OF RISK

Risk Register ID No.
(allocated by DATIX)

<p>Date re-assessed</p> <p>NEW RISK ASSESSMENT (See guidance notes) (Please tick)</p> <table style="width:100%;"> <tr> <th style="text-align: left;">Consequences (C)</th> <th style="text-align: left;">Likelihood (L)</th> </tr> <tr> <td>Catastrophic 5 <input type="checkbox"/></td> <td>Certain 5 <input type="checkbox"/></td> </tr> <tr> <td>Major 4 <input type="checkbox"/></td> <td>Likely 4 <input type="checkbox"/></td> </tr> <tr> <td>Moderate 3 <input type="checkbox"/></td> <td>Possible 3 <input type="checkbox"/></td> </tr> <tr> <td>Minor 2 <input type="checkbox"/></td> <td>Unlikely 2 <input type="checkbox"/></td> </tr> <tr> <td>Negligible 1 <input type="checkbox"/></td> <td>Rare 1 <input type="checkbox"/></td> </tr> </table>	Consequences (C)	Likelihood (L)	Catastrophic 5 <input type="checkbox"/>	Certain 5 <input type="checkbox"/>	Major 4 <input type="checkbox"/>	Likely 4 <input type="checkbox"/>	Moderate 3 <input type="checkbox"/>	Possible 3 <input type="checkbox"/>	Minor 2 <input type="checkbox"/>	Unlikely 2 <input type="checkbox"/>	Negligible 1 <input type="checkbox"/>	Rare 1 <input type="checkbox"/>	<p>Planned next review date:</p> <p>RISK RATING SCORE (Consequence x Likelihood)</p> <p>NEW LEVEL OF RISK (See Guidance Notes) (please tick)</p> <table style="width:100%;"> <tr> <td>Low <input type="checkbox"/></td> </tr> <tr> <td>Moderate <input type="checkbox"/></td> </tr> <tr> <td>High <input type="checkbox"/></td> </tr> <tr> <td>Extreme <input type="checkbox"/></td> </tr> </table>	Low <input type="checkbox"/>	Moderate <input type="checkbox"/>	High <input type="checkbox"/>	Extreme <input type="checkbox"/>	<p>Since initial/last assessment the risk has: (tick as appropriate)</p> <p>decreased <input type="checkbox"/> been resolved <input type="checkbox"/> increased <input type="checkbox"/> remained the same <input type="checkbox"/></p> <p>Risk treatment option now (tick one)</p> <p>Accept risk <input type="checkbox"/> Monitor and review <input type="checkbox"/> Do not accept risk <input type="checkbox"/> Continue with existing Risk Action plan <input type="checkbox"/></p> <p>OR</p> <p>Implement a new Action plan <input type="checkbox"/> (copy attached) Archive risk as resolved <input type="checkbox"/></p>
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