

# 1. RISK ASSESSMENT FORM – Initial Assessment of Risk

**Risk Register ID No.**

*(allocated by DATIX)*

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**Speciality/ Department / Ward:**

Security
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**Risk Assessor:**

Keith Loader
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**Date of initial assessment:**

10/04/17
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**Risk Type:**  
*(Please tick)*

Clinical	<input type="checkbox"/>
Financial	<input type="checkbox"/>
Organisational (Including H&S)	<input checked="" type="checkbox"/>
Project	<input type="checkbox"/>

**Source of Review:**

*(Board, Committee, Group monitoring risk)*

Security Policy Update
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**Source of Risk:**

*(Specialty Risk Assessment, Incident Reports, NHSLA, NSF, Service Plan, Waiting times etc)*

Data held on CCTV and ID system
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**DESCRIPTION OF RISK**

*(e.g. what hazard exists, what potential harm might be caused, to whom?)*

Risk of personal information being accidentally or deliberately released into the public domain.

CCTV: Personal information is held of staff, patients and visitors in the form of digital video recordings. This information is used for the Prevention and Detection of Crime and is held for a maximum of 1 month in line with the ICO codes of practice. The information is then automatically deleted from the system. This information is held on secure systems that are password protected.

Information may be provided to law enforcement agencies for the purpose of Prevention and Detection of crime, however this is only supplied in accordance with the Data Protection Act.

ID Card System/ Lorenzo Smart Cards: Personal information is held on the Trusts ID access control system both digitally and manual records. This information is retained for a period of 5 years in accordance with Trust Policy and then deleted and destroyed. This information is held on a secure system that is password protected and manual records are locked in secure cabinets. Information is retained for a period of 6 years in accordance with NHS Records Management Codes of Practice (Personnel/Human Resources Management of Records).

Lorenzo Smart cards: information is held by I.G. department on a secure server with access by I.G. staff only. NHS Digital also holds Lorenzo details on a secure national server.

**Existing Controls**

*(Brief notes)*

**All information is kept on secure servers that are password protected. Manual records are stored in locked secure cabinets. Records are retained for the periods identified.**

**Adequacy Of Existing Controls**

*(Please tick)*

**A = Adequate**  
**U = Uncertain**

**I = Inadequate**

**RISK SCORE**

*(See guidance notes) (Please tick)*

**RISK RATING SCORE**

*(Consequence x Likelihood)*

**LEVEL OF RISK**

*(See Guidance Notes) (please tick)*

**Risk Treatment Plan**

*(Please tick one)*

Consequences (C)		Likelihood (L)				
Catastrophic	5 <input type="checkbox"/>	Certain	5 <input type="checkbox"/>	<b>4</b>	Low	<input type="checkbox"/>
Major	4 <input checked="" type="checkbox"/>	Likely	4 <input type="checkbox"/>		Moderate	<input checked="" type="checkbox"/>
Moderate	3 <input type="checkbox"/>	Possible	3 <input type="checkbox"/>		High	<input type="checkbox"/>
Minor	2 <input type="checkbox"/>	Unlikely	2 <input type="checkbox"/>		Extreme	<input type="checkbox"/>
Negligible	1 <input type="checkbox"/>	Rare	1 <input checked="" type="checkbox"/>			

## 2. RISK ACTION PLAN

Risk Register ID No.   
*(allocated by DATIX)*

ACTION	PERSON RESPONSIBLE	START DATE	PLANNED COMPLETED DATE	COST S (£)	COST TYPE (C/R)	COMPLETED DATE

### 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 <input type="checkbox"/>                 | Reduce consequences <input type="checkbox"/> |
| Reduce Likelihood <input type="checkbox"/>     | Transfer all risks <input type="checkbox"/>  |
| Transfer part of risk <input type="checkbox"/> |  |

**TARGET RISK RATING AFTER ACTION PLAN IMPLEMENTED**

*(see guidance notes for risk assessment in risk register)*

**Consequences (C)**

- |              |   |                          |
|--------------|---|--------------------------|
| Catastrophic | 5 | <input type="checkbox"/> |
| Major        | 4 | <input type="checkbox"/> |
| Moderate     | 3 | <input type="checkbox"/> |
| Minor        | 2 | <input type="checkbox"/> |
| Negligible   | 1 | <input type="checkbox"/> |

**Likelihood (L)**

- |          |   |                          |
|----------|---|--------------------------|
| Certain  | 5 | <input type="checkbox"/> |
| Likely   | 4 | <input type="checkbox"/> |
| Possible | 3 | <input type="checkbox"/> |
| Unlikely | 2 | <input type="checkbox"/> |
| Rare     | 1 | <input type="checkbox"/> |

**RISK RATING SCORE**

*(Consequence x Likelihood)*

**Target Level of Risk**

*(See Guidance Notes) (please tick)*

- |          |                          |
|----------|--------------------------|
| Moderate | <input type="checkbox"/> |
| High     | <input type="checkbox"/> |
| Extreme  | <input type="checkbox"/> |
| Low      | <input type="checkbox"/> |

**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><b>Date re-assessed</b></p> <p><b>NEW RISK ASSESSMENT</b> (See guidance notes) (Please tick)</p> <table style="width: 100%;"> <tr> <td style="width: 50%;"><b>Consequences (C)</b></td> <td style="width: 50%;"><b>Likelihood (L)</b></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>	<b>Consequences (C)</b>	<b>Likelihood (L)</b>	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><b>Planned next review date:</b></p> <p style="text-align: center;"><b>RISK RATING SCORE</b> (Consequence x Likelihood)</p> <p style="text-align: center;"><b>NEW LEVEL OF RISK</b> (See Guidance Notes) (please tick)</p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Low <input type="checkbox"/></td> <td style="width: 50%;"></td> </tr> <tr> <td>Moderate <input type="checkbox"/></td> <td></td> </tr> <tr> <td>High <input type="checkbox"/></td> <td></td> </tr> <tr> <td>Extreme <input type="checkbox"/></td> <td></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"/></p> <p>increased <input type="checkbox"/> remained the same <input type="checkbox"/></p> <p><b>Risk treatment option now (tick one)</b></p> <p>Accept risk <input type="checkbox"/></p> <p>Monitor and review <input type="checkbox"/></p> <p>Do not accept risk <input type="checkbox"/></p> <p>Continue with existing Risk Action plan <input type="checkbox"/></p> <p><b>OR</b></p> <p>Implement a new Action plan(copy attached) <input type="checkbox"/></p> <p>Archive risk as resolved <input type="checkbox"/></p>
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