PHI | Public Health Institute
LIVERPOOL JOHN MOORES UNIVERSITY

DPA06
Risk Assessment Process

For all staff at

PUBLIC HEALTH INSTITUTE,
LIVERPOOL JOHN MOORES UNIVERSITY

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Approval and Authorisation

Completion of the following detail signifies the review and approval of this document, as minuted in the senior management group meeting(s) shown.

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Document change history

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0.1	Draft	Based on NWPHO document	05/06/2013	Geoff Webb
1.1	Full	CPH changed to PHI	05/11/2015	Mark Whitfield

Contents

1. Introduction

The Public Health Institute (the organisation) is committed to a systematic and planned approach to the management of risk, with regard to information risk assessment.

Risk Management is a central part of any organisation's strategic management. It is a continuous and developing process, which methodically addresses all the internal and external risks associated with the organisation's goals, objectives and strategies for the delivery of their services.

The focus of Information Risk Management is the identification and treatment of these risks. Effectiveness of internal controls is the degree to which risk will either be eliminated or reduced by the proposed control measures. This document describes the process of Risk Assessment as an integral part of Risk Management.

2. Scope

The risk assessment process is concerned with all areas of PHI. It is the same process as used for the assessment of physical risks although it is reported separately.

2.1 Definition

Risk Appetite – the Risk Score above which the risk must be escalated.
This is initially set at 10.

3. Process

The process starts with identifying a need to carry out a Risk Assessment. This may be as the result of an incident or as a matter of course when a new asset is introduced, for example replacement of equipment, or establishment of a new database.

- A Risk Assessment form (shown in Appendix 1) is completed, starting with your details. The reference number will be obtained later.
- The Guide (shown in Appendix 2) gives assistance on completing the rest of the form.
- Calculate the Risk Score (impact multiplied by likelihood).
- If the Risk Score is above the Risk Appetite (see definitions above) then it must be escalated as follows:

  For Information Risks – contact the SIRO (Director).
  For other risks – contact Emma Todd.

- If it is apparent that the applications of certain controls or improvements could reduce the risk, document those actions on the form and recalculate the risk taking those into account. This will give the Residual Risk Score and level.

- Complete all remaining known details.

- Access the Risk Register and take the next sequential number from the risk register to enter on the form as the Risk Assessment Reference Number.

- Update the Risk Register supplying the necessary details from the form.

- File the Risk Assessment in the appropriate Risk Management folder.

Note: Tables referred to on the Risk Assessment Form are found at the end of Appendix 2.

4. Reporting

All Information risks must be summarised in the Quarterly Incident and Risk report presented to the DPA Compliance Group.

Appendix 1: Risk Assessment Form

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RISK ASSESSMENT FORM

Risk Assessment
Reference Number:

Area of the organisation	Date
Person completing the form (Name and contact details)	
STEP 1 – Risk Description	
(Describe here the risk. A risk will usually be a specific event to an asset that can be named).	
STEP 2 – Existing Controls	
(Describe here existing process, systems, mechanisms etc., in place to prevent the risk event occurring or to reduce the impact of the risk event if it does occur)	
STEP 2.1 – Controls Effectiveness (see Table 1 of the Guide)	
(Describe here any weaknesses or deficiencies in the existing controls)	
Specify one.	A – Adequate controls are in place B - Limited controls in place and/or the controls have known weaknesses C - Controls non-existent or largely ineffective
STEP 3 – Risk Impact Score: Use Table 2 to assess the most commonly expected level of impact of the risk referring to each of columns i – iv. Take into account your assessment of the effectiveness of any controls that are in place to reduce or manage the risk's impact	
(Describe here specific impacts that could be expected to occur, use the risk impact score table to assist you do this).	

STEP 4 – Likelihood Score: Use Table 3 of the Guide to determine the Likelihood of the risk occurring. Take into account your assessment of the effectiveness of the controls in place to reduce the likelihood of the risk occurring			
Provide here any recent examples of the risk event occurring in support of your score, e.g. from incident reporting)			
STEP 5 – Overall Risk Score and Level: Use Table 4 of the Guide to get the risk Score (Impact * Likelihood) and Level (Low, Moderate or High)	Score		Level
STEP 6 – MANAGING THE RISK			
RECOMMENDED ACTIONS AND SUMMARY RISK TREATMENT PLAN NB – Provide below supporting details (incl. budgetary requirement) of any identified costs.	COST£	PERSON RESPONSIBLE	DUE DATE
STEP 6 Residual Risk Rating	Score		Level
Other:	Signature		Date
Date of review at Risk meeting			
Date added to Risk Register			
Business Manager sign off			

Appendix 2 Risk Assessment Guide

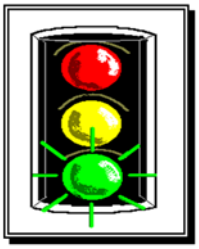
1-Identify the risk!

2-What controls (systems & processes) are in place and are they effective **(use table 1)**

3-What impact could the risk have if it occurs **(Use table 2)**

4-How likely is it that the risk will occur? **(Use Table 3)**

5. What is the risk rating? **(Use table 4)**



6. How should the risk be managed?

TABLE 1-CONTROLS EFFECTIVENESS SCALE	
LEVEL	**DESCRIPTOR**
A	Adequate controls in place
B	Limited controls in place/ and or controls have known weaknesses
C	Controls non-existent or largely ineffective

TABLE 2-RISK IMPACT SCORE		
LEVEL	**DESCRIPTOR**	**Description-Injury/harm, service delivery, financial/litigation/publicity**
1	**Insignificant**	No apparent injuries. Low financial loss/cost <£1 000. No risk to organisation.
2	**Minor**	Short-term injury or damage. First Aid Treatment. Moderate financial loss up to £5 000. Complaint possible. Remote litigation risk. Staff sickness < 3 days. Schedule slippage. Minimal risk to organisation.
3	**Moderate**	Medical Treatment required. Temporary incapacity/injury/harm. Short-term monitoring or additional treatment required. Potential for adverse publicity. Moderate environmental implications. Financial loss £5000 - £10 000. Staff sickness > 3 days. Moderate loss of reputation. Moderate business interruption. Moderate risk to Organisation. Complaint likely, litigation possible.
4	**Major**	Permanent injury/harm. Injury requiring major clinical intervention or unplanned admission to ITU. Long-term staff sickness >4 weeks. Serious complaint anticipated. Litigation expected. High environmental implications. Major financial loss up to £250 000. Major loss of reputation. Major business interruption – service restriction or closure. Probable media interest. High risk to Organisation.
5	**Catastrophic**	Death/Suicide/Homicide. Incident involving multiple people. National media interest and adverse publicity. High financial loss over £250 000. Litigation expected.

TABLE 3- LIKELIHOOD SCORE		
LEVEL	**DESCRIPTOR**	**DESCRIPTION**
1	Rare	Do not believe this event will happen again except only in exceptional circumstances e.g. once a decade
2	Unlikely	Do not expect the event to happen again but it is a possibility e.g. once a year
3	Possible	The event may re occur occasionally e.g. once a month
4	Likely	The event will probably re occur e.g. once a week
5	Certain	The event is likely to re occur on many occasions e.g. once a day

TABLE 4-RISK RATING MATRIX Level is High if Red, Moderate if Orange or Low if Green					
LIKELIHOOD	**IMPACT**				
	Insignificant 1	**Minor 2**	**Moderate 3**	**Major 4**	**Catastrophic 5**
5	**5**	**10**	**15**	**20**	**25**
4	**4**	**8**	**12**	**16**	**20**
3	**3**	**6**	**9**	**12**	**15**
2	**2**	**4**	**6**	**8**	**10**
1	**1**	**2**	**3**	**4**	**5**

TABLE 5-MANAGING THE RISK					
RISK LEVEL		**INITIAL ASSESSMENT BY RISK ASSESSOR**	**NEXT ACTIONS**	**NEXT ACTIONS**	**SCRUTINY**
HIGH		Within 24 hours, send initial risk assessment to Business Manager and Deputy Director. If risk Catastrophic: with recommendations to cease service/activity (unless to do so creates a greater risk) until control(s) improve to reduce risk to moderate. Within 24hours consultation with Director regarding service suspension, consider who needs to know.	Within 5 days full risk assessment to BM/DD who informs Director to prioritise unbudgeted expenditure identified in risk assessments.	Within next 2 working days (if service suspended) or 5 days, BM/DD co-ordinates preparation of, and where of local interest only, commences implementation of action plan to reduce risk to at least moderate within 35 working days	Next Risk meeting receive assessment and option decision, progress report on actions (if any) and confirms adequacy of action plan when prepared.
MODERATE		Within 5 working days, forward risk assessment and recommended option to Business Manager and Deputy Director once reviewed to confirm assessment/option.	Within 5 working days BM/DD confirm assessment option	Within 5 days BM delegates preparation, and, where of local interest only, implementation of action plan to reduce risk to LOW within 20 days	Next Risk meeting notified of new risk register entry and confirm option chosen.
LOW		Within 5 days forward assessment to BM.	Within 10 days BM to determine management option	Organisation review risk quarterly	Organisation risk register reviews