**Individual Risk Assessment Form, Guidance and FAQs**

Coronavirus (COVID-19) can make anyone seriously ill. But for some people, the risk is higher. There are 2 levels of higher risk groups - individuals that are high risk (clinically extremely vulnerable) and those that are moderate risk (clinically vulnerable). See more on this at <https://www.nhs.uk/conditions/coronavirus-covid-19/people-at-higher-risk-from-coronavirus/whos-at-higher-risk-from-coronavirus/>.

For staff who have been identified as being at increased risk from coronavirus (Covid-19) due to a number of factors then it is the responsibility of their Line Manager to complete an assessment for this. It is important that Line Manager’s explain the possible risks to staff to help them take more personal responsibility for managing risks.

Where possible staff will be able to continue to work from home, however, not all jobs can be done from home. The government advice is that if your workplace is open and you cannot work from home, you can travel to work and this assessment is designed to record what steps can be taken to mitigate these risks for staff who are at increased risk from coronavirus (Covid-19).

**COVID-19 and Pregnancy:**

NHS guidance states that there's no evidence that pregnant women are more likely to get seriously ill from coronavirus. But pregnant women have been included in the list of people at moderate risk (clinically vulnerable) as a precaution. This is because pregnant women can sometimes be more at risk from viruses like flu. It's not clear if this happens with coronavirus. But because it's a new virus, it's safer to include pregnant women in the moderate-risk group. It may be possible to pass coronavirus to a baby before they are born. But when this has happened, the babies have got better. There's no evidence coronavirus causes miscarriage or affects how a baby develops in pregnancy. <https://www.nhs.uk/conditions/coronavirus-covid-19/people-at-higher-risk-from-coronavirus/pregnancy-and-coronavirus/>

**Other Factors Affecting the Risk Assessment: Ethnicity, Age and Gender**

Emerging UK and international data suggest that people from Black, Asian and Minority Ethnic (BAME) backgrounds are also being disproportionately affected by Covid-19 and Public Health England have recently published a report on the disparities in the risk and outcomes. Underlying health issues and certain social circumstances are being put forward as possible explanations but it is important not to assume this. Until there is clarity about the risks, we advise that BAME staff may be additionally vulnerable to Covid-19.

On their own these factors may not require restriction from any particular activity. Considering if there any underlying health conditions present as well this would reinforce the need to apply stringent control measures which include social distancing and/or the use of Personal Protective Equipment (PPE). The Individual Risk Assessment has been designed to help identify the control measures that need to be agreed and put in place.

**Advice on Risk Assessment:**

For the other groups, the risk categories above cover a wide range of severity and include some people who are only at very slightly increased risk. Nonetheless when you are reviewing work activities it is important to consider individuals risk and aim to reduce it if possible even if their risk is low.

It is not possible to avoid all risk and the aim of the risk assessment is to avoid unacceptably high risk activities and to bring down risk in other areas as far as reasonably practicable. Most people in the risk categories will be able to continue working but it is still important to consider how you could reduce their risk.

This form has been developed to support managers with this assessment but it must be completed in conjunction with the latest guidance from Public Health England (PHE).

**Individual Risk Assessment Frequently Asked Questions (FAQs)**

1. **Do I need to undertake an Individual risk assessment for all staff?**

Not all staff – an Individual Risk Assessment is only to be completed for staff identified as being at increased risk from Covid-19 due to a range of factors, such as ethnicity, age, gender, health conditions and disabilities, pregnancy and personal issues.

1. **What defines a front-line employee for the context of the Individual risk assessment?**

All staff who are unable to do their jobs 100% from home; this would include staff that work the majority of their time from home but have to undertake home visits or attend court etc.

1. **Are there certain staff groups that the individual risk assessment should be undertaken for?**

Yes Public Health England advises that some groups are at higher risk from Covid-19 such as employees with certain health conditions, those from Black, Asian and Minority Ethnic (BAME) and any pregnant employees.

1. **How do I approach this with my employees?**

Staff are likely to already be anxious about the risk from Covid-19 and managers should act swiftly and sensitively to address these concerns. You should be sensitive to the potential barriers to workers feeling able to have an open conversation, which may include concerns that disclosing this information may disadvantage them in the future in terms of earnings, work status or terms and conditions of their employment.

Managers to ensure that cultural factors are taken into consideration so that staff have the confidence to openly discuss and resolve their concerns. The conversation with the individual to undertake the risk assessments needs to be detailed and sensitive.

The outcome should be focused on identifying actions to minimise the risk which are carefully considered taking into the different contexts, risk factors and the views of the individual worker.

1. **What if I already have an individual risk assessment for the member of staff, do I need to do another one?**

Yes – The current risk assessment must be reviewed alongside the Individual Risk assessment to ensure that Covid-19 concerns are discussed and any potential risk factors are addressed.

1. **If staff are clinically extremely vulnerable and are working at home, I assume that they do not need an individual risk assessment at this time as they should continue to be at home until further advice is received?**

Yes - Under current government guidance, clinically extremely vulnerable staff must not come to work and should follow robust shielding arrangements. If the employee is not in the clinically extremely vulnerable, they may be able to return to work (with minor adjustments) and will need an individual risk assessment to be undertaken

1. **If an employee is in a vulnerable group and I think that with minor adjustments they can now do all their work at home, do I have to carry out an Individual risk assessment?**

Yes – if the employee is in the clinically vulnerable group, they may be able to return to work (with minor adjustments) and will need an Individual risk assessment to be undertaken. The individual risk assessment will help you to identify what you can put in place. The minor adjustment could be for example swapping home visits to virtual visits where this is possible to do so.

1. **What if the member of staff refuses to co-operate with the individual risk assessment?**

The process should be undertaken with sensitivity and be supportive. It shouldn’t be intrusive, and you should provide reassurance of confidentiality at all times.

Try to find out the reasons why and what their concerns are and resolve to address them.

1. **Who is responsible for the individual risk assessment?**

As with all risk assessments, managers are responsible for ensuring Individual risk assessments are carried out and any concerns followed up.

1. **What kind of controls and mitigation have others put in place?**

These are individual risk assessments and will depend on individual circumstances and job roles. The following control measures can be implemented to mitigate the risk:

* Stagger start and finish times and introduce rota/shift practices to help practice social distancing
* Avoid visits requiring face to face contact – use virtual meetings if possible
* Where an onsite visit is absolutely critical, call in advance and use a pre-visit check list including to find out if anyone has been unwell, can social distancing be maintained and asking about the opportunity to wash hands.
* If appropriate, car parking or cycle facilities could be made available
* Ensure that employees are aware of the service risk assessment including if any PPE is required for their role and how to access it.

1. **Do I keep the individual risk assessment under review?**

Yes, it is recommended that a monthly review is undertaken as part of the one-to-one process **or** if there are changes in circumstances **or** government guidance changes.

Individual Risk Assessment form can be found below for completion

**Individual Risk Assessment Form**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **General Information** | | | | | | |
| **Employee Name(s):** |  | | | **Job Title:** |  | |
| **Line manager** |  | | | **Managers’ job title** |  | |
| **Building / Service:** |  | | | **Working hours:** |  | |
| **Date of Assessment:** |  | | | **Review date:** |  | |
| **Risk Group / other factors:** | *Please tick appropriate box:* | **Yes** | **No** | **Current role involves:** | *Please tick appropriate box:* | **✓** |
| **Clinically extremely vulnerable** - notified by NHS as in very high risk group requiring **Shielding** |  |  | Providing care within 2 meters |  |
| **Clinically vulnerable** – over 70 or underlying health condition as per the [NHS list](https://www.nhs.uk/conditions/coronavirus-covid-19/people-at-higher-risk-from-coronavirus/whos-at-higher-risk-from-coronavirus/) |  |  | Visiting people’s home e.g. repairs |  |
| **Pregnant** |  |  | Working in the community e.g. caretaking, community safety |  |
| **Black, Asian and Minority Ethnic (BAME)** |  |  | Meeting with residents in our buildings |  |
| **Mental health -** impact on mental wellbeing |  |  | Proving a support service (e.g. training) |  |
| **Other specific concerns** *e.g. caring for someone vulnerable, living in conditions where it’s difficult to social distance etc.* |  |  | **If yes, provide brief description** |  |  |

***Note:*** *There is no need for staff members living with a shielding individual to follow the shielding measures themselves however they can support them by following the* [*guidance on staying alert and safe (social distancing)*](https://www.gov.uk/government/publications/staying-alert-and-safe-social-distancing)*.*

**If you have answered NO to all questions, then no further action is required and this form will**

**be retained on your records. If you have answered yes to any of the questions then please**

**proceed to evaluate the risk further.**

**\*\*\* PLEASE READ AND UNDERSTAND PRIOR TO UNDERTAKING THE RISK ASSESSMENT \*\*\***

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| --- |
| **IMPORTANT INFORMATION ABOUT THE DEMOGRAPHIC AND HEALTH RISKS ASSOCIATED WITH COVID 19**  **Health conditions associated with an increased COVID-19 Risk?**  The Government are advising those who are at increased risk of severe illness from coronavirus (COVID-19) to be particularly stringent in following social distancing measures. This group includes those who are shielding and those :  With an underlying health condition listed below (i.e. anyone instructed to get a flu jab as an adult each year on medical grounds):   * chronic (long-term) respiratory diseases, such as asthma, chronic obstructive pulmonary disease (COPD), emphysema or bronchitis * chronic heart disease, such as heart failure * chronic kidney disease * chronic liver disease, such as hepatitis * chronic neurological conditions, such as Parkinson’s disease, motor neurone disease, multiple sclerosis (MS), a learning disability or cerebral palsy * diabetes * problems with your spleen – for example, sickle cell disease or if you have had your spleen removed * a weakened immune system as the result of conditions such as HIV and AIDS, or medicines such as steroid tablets or chemotherapy * being seriously overweight (a body mass index (BMI) of 40 or above) * those who are pregnant   **Demographic factors associated with an increased Covid-19 Risk**  The emerging evidence suggests there are three key things that can affect people’s vulnerability, or ‘risk factor’: Age, Gender, and Ethnicity. Put simply, older people, men, and people from Black, Asian and Minority Ethnic (BAME) communities seem to be at greater risk from Covid-19. The causes of these increased risk factors are not yet fully understood, and further research is taking place right now.  **Age:**  The evidence shows that age is a clear risk factor. This is why the government measures are in place for the over-70s in terms of self-isolation. Compared to people in their 40s, those in their 60s could be up to eight-times more at risk, and people in their 70s could be 25-times or more at risk. So in our teams we need to make sure we are taking action to reduce older colleagues’ exposure to the Coronavirus.  **Gender:**  The risk for men of becoming seriously ill from COVID-19 appears likely to be between 1.5 to 2.5 times greater than for women. This seems to increase with age from 40 up to 85. We need to consider people’s gender when assessing their risk from COVID-19, especially amongst older colleagues.  **Ethnicity:**  Emerging data and research suggests that BAME people are at greater risk from COVID-19, compared to their white counterparts. A recent UK study by the Intensive Care National Audit and Research Centre found that 35% of 2,000 COVID-19 patients were non-white, which is nearly triple the 13% proportion in the wider UK population. From this, Asian patients were two-times more likely to be most seriously ill, and black patients 3.4-times more likely, compared to white patients. Similar findings have emerged from studies in the US, as well. In some sectors, BAME colleagues are disproportionately represented in the workforce. We are taking these findings very seriously and on this basis, we must take colleagues’ ethnicity into account when assessing their risk from COVID-19**.** |

**Evaluating the risk**

In order to assist managers to assess the risk in a structured and consistent manner we have included a scoring matrix. For each risk factor **(age, gender & ethnicity and condition status)** please allocate a score of 1, 2, 3, or 4.Add the numbers up for a Total Risk Score. Once those two factors are assessed, the matrix on the next page can be used to determine the level of risk (This information can then be used to prioritise any control measures necessary to eliminate or reduce the risk to an acceptable level.

As an example, a 52 year old black male with moderate underlying health conditions would scores as follows:

* **Age** (band 50-59) – score 2
* **Gender & ethnicity** (Male Black) – score 3
* **Condition status** (Moderate or Chronic) – score 3
* **Total Score = 8**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Score 1** | **x** | **Score 2** | **x** | **Score 3** | **x** | **Score 4** | **x** |
| **Age** | Below the age of 49 |  | 50-59 |  | 60-69 |  | 70+ |  |
| **Gender and EThnicity** | Female White |  | Female Asian |  | Male Asian |  | N.B For other non-white ethic groups besides Asian and Black kindly score alongside the Asian profile. |  |
| Female Black |  |
| Male White |  |
| Male Black |  |
| **Status of your Condition** | None Known  *No underlying health condition as described on previous page.* |  | Mild  *Evidence of underlying health condition described on previous page. Condition is mild or well managed* |  | Moderate or Chronic    *Evidence of underlying moderate or chronic health condition described on previous page.* |  | Pregnant  *Prior to 28 weeks gestation: can continue working, subject to modification of the working environment and deployment to suitable alternative duties.*  *From 28 weeks’ gestation, or with underlying health conditions, should be recommended to stay at home and considering flexibility in working from home in a different capacity.* |  |

Once these factors are assessed add the numbers up for a Total Risk Score and consider the suggested actions

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **TOTAL RISK SCORE AND SUGGESTED ACTION** | | | | | |
| **Total Score 1-6** |  | **Total Score 7-8** |  | **Total Score 9** **+** |  |
| Continue working in usual environment  following all safety precautions (social  distancing, hand hygiene) where possible | | Consider how to make role safer e.g. by avoiding direct contact with others and following all safety precautions (social distancing & hand hygiene) where possible. | | Consider home working or if this is not possible  review job role to avoid direct contact with others and ensure strict social distancing measures and/or provision of Personal Protective Equipment (PPE). Alternatively explore moving to a lower risk area.  In some cases HR advice may need to be sought | |

Now talk about and explore any concerns or issues concerning the suggested action from the risk assessment score then agree the next steps. To help you with this you can record what you are already doing in the table below along with guidance on what additional actions to consider to further reduce the risk.

| **Aspects** | **What are you already doing?** | **Additional action to reduce risk** |
| --- | --- | --- |
| Can the work be done at home? |  | *If the work cannot be performed at home then could alternative work be undertaken at home or elsewhere in the organisation?* |
| If you have to travel to work think about how and when you travel. |  | *To reduce potential exposure avoid public transport where possible and use existing or new* [*walking and cycling routes*](https://tfl.gov.uk/travel-information/improvements-and-projects/streetspace-for-london)*.*  *If using public transport try to avoid peak times (*05:45-08:15 and 16:00-17:30) *and* [*wear a face covering*](https://www.gov.uk/government/publications/staying-safe-outside-your-home/staying-safe-outside-your-home#face-coverings)*.* |
| If having to attend work then can face to face interactions be limited and/or social distancing be maintained? |  | *Adjusting the work environment, times or duties to reduce the risk of exposure, for example working in a separate office, not using shared telephones, carrying out telephone rather than face to face interactions.*  *If social distancing cannot be maintained then Personal Protective Equipment (PPE) must be provided including face masks.* |
| Has the individual had any sickness in the past linked to their health condition? |  |  |
| What arrangements are you going to put in place to ensure regular contact / wellbeing? |  |  |
| Other considerations: |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Assessment** | | | | | | |
| *Please tick appropriate box:* | | **✓** | | Monitoring / further action: | | |
| Actions agreed as detailed above further reduce the risks of transmission | |  | | Local manager to review and monitor. | | |
| Actions agreed as detailed above do not further reduce the risks of transmission and some concerns remain. | |  | | Contact your HR Advisor for further advice and support | | |
| **Additional notes** | | | | | | |
| *Please add any additional notes as appropriate:* | | | | | | |
| **I confirm that the information contained in this risk assessment is reflective of the conversation held and agreement reached:** | | | | | | |
| **Line Manager’s Name** |  | | **Signature** |  | **Date** |  |
| **Employee Name** |  | | **Signature** |  | **Date** |  |