Safety Code of Practice **SCoP 02**

RISK ASSESSMENT

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Contents

POLICY

1. POLICY STATEMENT

1.1 The Policy

At the heart of any health and safety management system is risk assessment.

The University is committed to taking 'all steps necessary, so far as is reasonably practicable', to ensure:

- The health, safety and welfare at work of all our employees and;
- That persons not in our employment who may be affected thereby, are not exposed to risks to their health or safety

One of the principal aims of the Health and Safety Policy is to ensure 'sensible risk management practices are applied' and it is therefore the intention of the University that risk assessment will be the foundation of the safety management system.

This Policy sets out the legal context of risk assessment and the operational arrangements to be followed in order to implement the University Health and Safety Policy. In particular, the key principles of this Policy are:

1. Ensure all significant hazards are risk assessed
2. All those carrying out risk assessments are competent and training is mandatory
3. All those responsible for implementing this Policy and Operational Procedures are identified and are aware of their responsibilities
4. Risk assessments are recorded and copies (electronic or hardcopy) must be available for inspection and are accessible
5. Risk assessments are placed on a Departmental Risk Database and are reviewed regularly
6. Adequate resources are made available to ensure this Policy is properly implemented

2. BACKGROUND

2.1 What is Risk Assessment?

In our daily lives, we are constantly assessing risks and the process of risk assessment at work is no more difficult or complicated. It is just different. When you make a cup of tea, boiling water may cause a scalding injury and so we put in control measures. You would not ask a 3-year-old child to make a cup of tea, you would not come into direct contact with the hot water until it has cooled down sufficiently to drink. You would not use a kettle with live wires exposed from a damaged plug. These are all control measures making the process of making a cup of tea – safe. Workplace risk assessment is no different. All you are being asked to do is to think about what can cause harm (a hazard) and to assess the potential for this to happen (risk). Having done this, you can identify the control measures necessary to perform the task safely. It is as simple as that.

2.2 Hierarchy of Control

There is an accepted hierarchy of control that we should consider when developing our safe working practices and these are set out in the Management of Health and Safety at Work Regulations 1999 SCHEDULE 1 (see Appendix 1). However, a simpler hierarchy is set out in the new BS ISO 45001 Occupational Health and Safety Management Systems and should be considered and followed when assessing and developing control measures. A combination of points 2-5 form the safe systems of work that we implement to ensure the safety of our operations.

Hierarchy of Control BS ISO 45001 Occupational health and safety management systems		
1. Eliminate the hazard	Change the way we do things to remove the hazard completely	ALL UNDER CONSTANT REVIEW TO ENSURE THEY ARE ALL STILL RELEVANT, MAINTAINED, UP TO DATE AND WORKING CORRECTLY. HAS ANYTHING CHANGED? IS THERE A NEED TO REVIEW THE ASSESSMENT?
2. Substitute with less hazardous processes, operations, materials or equipment	Do things less often/reduce the number of people exposed/use less hazardous chemicals/substances. Replace a dangerous chemical with a less dangerous/non-dangerous one. Have heavy items delivered to the location where they are being used rather than having to carry them from a central location. Buy in pre-formed items rather than having to assemble/cut in house.	
3. Use engineering controls and reorganization of work	Prevent exposure by isolating the equipment or handling chemicals in an enclosure. Use of machine guarding or local exhaust ventilation, separation of pedestrians from vehicles etc.	
4. Use administrative controls, including training	Technical and organisational controls i.e. safe systems of work, use of machinery operating instructions, training in case of emergency/hazardous chemicals/manual handling etc.	
5. Use adequate personal protective equipment (PPE)	PPE specific to the task including gloves, masks, safety shoes, overalls, breathing apparatus, Hi-Viz, safety goggles etc.	

2.3 Hazards

We use the term HAZARD quite loosely when discussing risk assessment and it is worth defining it further. Essentially hazards are anything that have the potential to cause harm and can include the following:

PHYSICAL	Radiation, noise, vibration, extreme temperature, UV light etc.	Noise induced hearing loss, hand arm vibration, vibration white finger, cancer
SAFETY	Spillages on floors, unguarded machinery, working at height, confined spaces, damaged electrical equipment, vehicle movements etc.	Electric shock, amputation, physical injury
CHEMICAL	Dusts, gases, vapours, liquids, flammable materials, pesticides etc.	Asbestosis, mesothelioma, dermatitis
BIOLOGICAL	Bacteria, viruses, fungi, molds, plants, insects bites, faeces etc.	Legionnaires, Weils disease, occupational cancer, Hepatitis, food poisoning, communicable disease
ERGONOMIC	Manual handling, awkward movements, lifting, pushing, stooping, repetitive movement, poor workstation set up etc.	
PSYCHOLOGICAL AND ORGANISATIONAL	Workload, violence at work, bullying, job security, control or lack of it, lone working etc.	Work related stress

2.4 'Reasonably Practicable' and 'Tolerable Risk'

The key question when carrying out risk assessment is how far do I need to go? The answer is simple – as far as is needed to ensure a safe working environment – but exercise common sense.

Legally, the University needs to take steps 'so far as is reasonably practicable' to ensure safety. That means, you need to consider a balance between cost/effort/resources Vs the risk. Spending £1million to avoid a child tripping over and bruising their knee is disproportionate and not reasonably practicable. However, spending the same £1million to prevent a catastrophic event resulting in multiple serious injury or death is reasonable. The key thing is that you MUST consider the hazard and then determine the risk. In other words, if there is a high likelihood of injury from slipping on water leaking from a refrigerator, then you will need to do something about it. If there is no possibility of injury and no hazards because the refrigerator is isolated and the water safely drains away, there is no need to do anything further.

We are now referring to how *tolerable* a risk is. In society, we live with risk and the workplace is no exception. If someone trips over a well-maintained curb in the street and falls over, it is unfortunate, but part of everyday life and so we do not fence off curbs or put signage – BEWARE CURBS. We see this as a tolerable risk i.e. something that we are prepared to live with. However, if there was a 1ft drop on the other side of the curb, the consequences are greater, the risk becomes less tolerable, and so we have to manage it by putting in place control measures. These might include rails and signage and maybe cover the 1ft drop. However, if the drop was 100ft, the consequences could be death and therefore we cannot

tolerate the risk and the control measures need to reflect this and be absolute. Access to the area would need to be prohibited and strictly controlled physically i.e. cordoned off with only authorised, trained people allowed into the area (permit to work).

This is an example of how risk assessment works. We are not looking to ban everything, we are looking to manage the lower level risks and prioritise the higher-level risks and stop any activity that cannot be done safely where the risk is not tolerable. Further guidance can be found in Appendix 2.

3. LEGISLATION AND GUIDANCE

3.1 Health and Safety at Work etc. Act 1974

Under the general provisions of the Health and Safety at Work etc. Act 1974, there is an expectation that all risks are assessed, managed and activities carried out safely. The UK health and safety regulatory system has been based on the principles of risk assessment for some considerable time and one of the main cases quoted is Edwards V National Coal Board (1949) 1 All E R 743. Risk assessment is therefore nothing new, and it is now the backbone and foundation of any safety management system.

3.2 Management of Health and Safety at Work Regulations 1992 (revised)(MHSW)

These regulations place specific duties on the employer to carry out 'suitable and sufficient' risk assessments. Understanding this term 'suitable and sufficient' is important; because it sets a legal standard that has to be met and the HSE clarify the standard as follows:

The law states that a risk assessment must be 'suitable and sufficient', i.e. it should show that:

- *a proper check was made*
- *you asked who might be affected*
- *you dealt with all the obvious significant risks, taking into account the number of people who could be involved*
- *the precautions are reasonable, and the remaining risk is low*
- *you involved your workers or their representatives in the process*

The level of detail in a risk assessment should be proportionate to the risk and appropriate to the nature of the work. Insignificant risks can usually be ignored, as can risks arising from routine activities associated with life in general, unless the work activity compounds or significantly alters those risks.

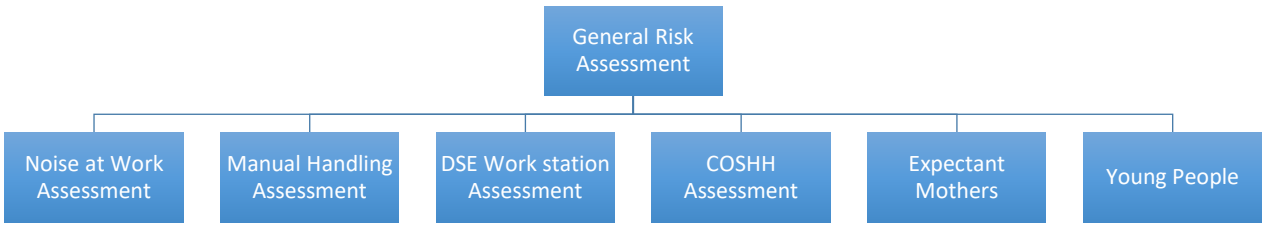
Your risk assessment should only include what you could reasonably be expected to know - you are not expected to anticipate unforeseeable risks.

The University expects that all work-related risks will be assessed and managed to this standard. The MHSW sets out a number of situations for which a risk assessment is required and this is set out in Appendix 2.

3.3 Other Legislation Requiring Risk Assessment

It is important to be aware that other legislation (see Appendix 2) also requires more specific risk assessments to be carried out for example relating to hazardous substances, noise, manual handling, expectant mothers, young people at work and workstations etc. This Safety Code of Practice relates purely to the general risk assessments carried out under the MHSW however, they are not mutually exclusive and the following sets out how they are related. Please note, this Policy does not cover work related travel as there is a separate Policy and risk assessment forms to complete.

The overarching requirement is to carry out an assessment of risk and we can call this a general risk assessment. As part of that process, you might identify manual handling or noise as an issue and in that instance, you should then refer to the relevant legislation and associated guidance and carry out a more specific assessment relating to that particular hazard or issue. In your general risk assessment, using form RA1 you should identify the specific hazard i.e. noise and then simply state that this is addressed in the more specific assessment. Further guidance is found in paragraph 5.6 of this Safety Code of Practice.



3.4 Guidance

For further guidance relating to risk assessment, see Appendix 2

ORGANISATIONAL ARRANGEMENTS AND RESPONSIBILITIES

4. MANAGEMENT ARRANGEMENTS

4.1 Responsibilities for Risk Assessment

At the heart of risk management is the principle that whoever causes the risk, should be responsible for controlling it. It therefore follows that managing risk is a collective responsibility and not just delegated down. The University Health and Safety Policy Roles and Responsibilities document sets out how health and safety is managed within the University.

4.2 Heads of Department (including academic, administrative and technical areas)

Responsible for..

'….ensuring the necessary risk assessments are carried out for activities and areas under the department's control, and the implementation of the risk prevention or protection measures identified by these assessments

ensuring that staff receive adequate training in matters concerning health and safety'

Heads of Department should therefore ensure that arrangements are in place to implement this Policy and operational procedures, to ensure staff are competent and that each Department manages all risks and assessments are placed on a risk database.

4.3 Academic Staff

Responsible for..

'….ensuring that the risks to health and safety arising from activities undertaken and equipment, materials, facilities etc. used by students, have been assessed, approved and all necessary control measures implemented'

Academic staff are fundamentally involved in the risk management process. They should therefore be involved in assessment of risks under their control, undergo risk assessment training and be part of the risk assessment process.

4.4 Staff

Other staff, in particular Technicians, will also be involved in the risk assessment process. It is essential that only staff who have undergone training and who are competent should conduct risk assessment. The Heads of Department will be responsible for ensuring this.

4.5 Safety Services

Responsible for reviewing and updating the Policy and Operational Procedures when necessary. Also, periodically carry out audits to assess compliance with the Policy and report findings.

5. PRACTICAL RISK ASSESSMENT

5.1 Types of Risk Assessment

There are a number of different types of assessment and it is important to understand the type of assessment you are carrying out.

Workplace

This type of assessment involves walking around a workplace to identify physical hazards and this is how we usually assess offices and buildings. For example trailing leads, lighting levels, drafts, noise etc.

Activity

An activity based assessment looks at the hazards associated with an activity. For example assessing the risks associated with maintenance, operating a kiln or changing lighting at high level. This assessment usually involves a mixture of looking at the working environment e.g. a theatre and considering the activity-based hazards including working at height. This is the most common type of risk assessment.

Specific Assessment

There are other types of assessment that are covered by specific legislation and examples are listed in Appendix 2. It is important to be aware of these and to apply the principles set out in the specific legislation/guidance.

How to Assess Risk

The general risk assessment form RA1 (see Appendix 3) that we use is a standard format and the process can be broken down into 5 stages and this process follows the HSE's suggested format of 5 Steps to Risk Assessment.

1. Identify the hazard
2. Determine who might be harmed
3. Evaluate the risks and decide on control measures
4. Record your significant findings
5. Review your assessment and update if necessary

5.2 Completing the Form RA1

If you are completing RA1 for an existing activity that is not subject to an existing risk assessment, please go to paragraph 5.4. This could be an activity that is established, but for some reason has never been assessed. This is not a new assessment, as there will already be control measures in place.

If you are completing RA1 for a brand new activity that has not been subject to a previous risk assessment, please read SCoP 02 in its entirety so that you get an understanding of the process, but then refer to paragraph 5.12.

If you are completing RA1 as part of a risk assessment review, please follow paragraph 5.13.

5.3 Completing the Form RA1 for an Assessment Relating to Existing Activities

The new form (RA1) requires you to begin by setting out the context of the risk assessment. It is important to complete this section with sufficient information to identify the author, task and location remembering to confirm the date, review date and a signature to confirm who has ownership of the risk assessment. You will also need to indicate what type of assessment it is by placing an X in the relevant box.

Activity being assessed:	Routine maintenance of lighting rigs and changing/repositioning lamps					Reference no:	ARL/RISK ASSESSMENT/01
NEW ASSESSMENT		RISK ASSESSMENT FOR EXISTING ACTIVITIES	X	RISK ASSESSMENT REVIEW			
Location:	St Johns Campus Dance Theatre			Assessment date:	1/1/18	Review date:	1/1/19
Assessment carried out by (name / job title):	Sian Stephens Senior Technician			Signature of Risk Assessor	S Stephens		

5.4 Identifying the Hazard

The first stage of your assessment is to consider what might be a workplace/activity hazard and to do this you will need to walk around the area, or sit down and consider the hazards associated with the activity. All we are doing is identifying ***anything that has the potential to cause harm***, which is the definition of a hazard. So for example, the following could be considered a hazard:

- Confined space
- Poor housekeeping
- Excessively hot water
- Working at height
- Chemicals
- Aggression and violence (typically in lone working scenarios)
- Vehicles in proximity to pedestrians
- Noise
- Poor electrical safety/plug sockets
- Poor lifting and manual handling
- Poor workstations (typically addressed by the DSE assessment)
- Lone working
- Environmental conditions (temperature/drafts/lighting)
- Fire

When carrying out your assessment, the first thing you need to do is to list the hazards that you find/identify. However, we are only required to consider the ***significant*** hazards. For example, in an office there may be a risk of getting a paper cut from handling paper. This would not be considered a significant hazard and so it would be highly unusual to include a paper cut in your office based risk assessment. However, trailing leads and poorly maintained electrical equipment can cause an electric shock or worse. This would be considered a significant hazard and so we would need to include this in our assessment. Hazards associated with office activities might include:

1. Slips and trips
2. Manual handling
3. Working at height
4. Asbestos
5. Electrical
6. Stress
7. Display screen equipment
8. Lone working
9. Handling cash

These are what we would call generic hazards that you might find in most offices. However, each assessment **MUST** relate to the unique circumstances of the activity/environment being assessed. It may be that handling cash is an element of the office that is being considered, hence including it in this list, but if it is not relevant, there is no need to include in your assessment.

5.5 Determine Who Might be Harmed

Once you have identified the hazards you can then think about who may be harmed. In general, this is an easy section as it will usually be staff but may also include students, visitors and contractors. It is worth talking to staff when carrying out your assessment as they can also assist in identifying who might be at risk. Particular issues that may crop up relate to those where English is not their first language or people with disabilities as these may present a different type of risk.

5.6 Identifying Control Measures

Stating the existing control measures should be simple as you just state what is in place now.

This can include reference to safe systems of work, good housekeeping, cleaning, training, daily checks of equipment by users etc. It is important to try to identify everything that is being done to control the risk because if it is not recorded, it is deemed not to be in place and so as a rule of thumb, read what you have written from the perspective of someone who knows nothing about the activity/premises. If they can understand the existing arrangements in place to manage the risk, then it should be fine.

For example,

Significant Hazards What could cause harm?	**What harm might occur, and to whom?** Remember to consider all affected groups	**Existing control measures**	**Risk Rating (current controls)**			**Additional control measures** What can we do / use / put in place to further reduce the risks to an acceptable level.	**Residual Risk**		
			L	S	RR		L	S	RR
Slips and trips	Staff and visitors may be injured if they trip over objects or slip on spillages.	• General good housekeeping. • All areas well lit, including stairs. • No trailing leads or cables. • Staff keep work areas clear, e.g. no boxes left in walkways, • Deliveries stored immediately. • Offices cleaned every evening.							

You may also identify specific hazards for example noise or manual handling, for which there are more specific assessment requirement (see Appendix 2). In this instance, in your general risk assessment, you should still refer to these where appropriate, but to avoid duplication, in the control measures section it is acceptable to state that this has been addressed in the 'specific' assessment. An example of this would be the following:

Naturally, this is only appropriate where a specific assessment has already been carried out. For further information about these specific risk assessments, please refer to the relevant guidance.

Significant Hazards What could cause harm?	**What harm might occur, and to whom?** Remember to consider all affected groups	**Existing control measures**	**Risk Rating (current controls)**			**Additional control measures** What can we do / use / put in place to further reduce the risks to an acceptable level.	**Residual Risk**		
			L	S	RR		L	S	RR
NOISE	Injury due to prolonged exposure to high noise levels	Refer to noise assessment NA/AL/01	3	3	9	No further measures required – monitor and review	3	3	9

5.7 Evaluating the Risk

This is the nuts and bolts of risk assessment and it is important to understand what is required. Again, to stress, this is not complicated and you should have every confidence in being able to evaluate the risk. Firstly, you are only expected to anticipate foreseeable risks. What does this mean? It means you are only required to consider things that might go wrong or become a problem in regular situations, conditions and situations and in health and safety law, this relates to how foreseeable an event might be. So, in an assessment of office activities, it would be expected to see some consideration of electrical safety or

manual handling, or even asbestos. However, it would be a little foolish to consider the risk of an elephant stampede or an earthquake in Worcester (although the nearest was 3.9 magnitude in 2008 in Bromyard). Therefore, it is all about considering what reasonably might be a hazard and then assess the risk of it happening.

All you need to do is consider what we are already doing and then look at the existing control measures (unless this is a new risk assessment and there may be no existing control measures).

Risk Rating

The system that the University uses requires a quantitative assessment of the risk and that relates to the columns headed Risk Rating.

Significant Hazards What could cause harm?	What harm might occur, and to whom? Remember to consider all affected groups	Existing control measures	Risk Rating (current controls)			Additional control measures What can we do / use / put in place to further reduce the risks to an acceptable level.	Residual Risk		
			L	S	RR		L	S	RR

This may seem a little complicated, but is very simple. You are asked to consider the particular hazard and assess the risk by considering the likelihood of the worst-case scenario and the severity – in this case, the worst injury arising from the hazard if it is not controlled. Guidance on this aspect is found on page one of the assessment form here:

Likelihood	Guide Description	Chance
5	Almost certain/imminent	>90%
4	Probable – a strong possibility of it happening	50%-90%
3	Possible – it may happen or it may have happened before	10%-50%
2	Unlikely - could happen but unusual	3%-10%
1	Rare – highly unlikely to occur	<3%

Severity	Guide Description
5	Catastrophic - fatality, multiple injuries
4	Major – significant injury, hospitalisation
3	Moderate - injury requiring further treatment, lost time
2	Minor - first aid injury, no lost time
1	Negligible – insignificant injury

The idea is that you multiply the likelihood score by the severity score and that will give you your risk rating which will range between 1 and 25. The following will give an indication of the rating and what you will need to do:

Likelihood (L)	Severity (S) 1	2	3	4	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

Risk Rating (RR)	Action
High Risk	Stop the task/activity until controls can be put into place to reduce the risk to a tolerable level
Medium Risk	Determine if further controls are required to reduce risk to as low as is reasonably practicable
Low Risk	No further action, keep under review

This is important because at the end of the process, we can then use these risk ratings to prioritise the higher risk activities for action (see para 6.1).

For example, let us look at a damaged 240v plug socket with exposed live wires in an office environment. The severity of injury if someone came into contact with it might be 4, with a likelihood score of 3. This is because you would have to actively put your hands on the socket making it possible and the severity would be an electric shock giving it a 3 rating. The overall risk rating would be 4 x 3 = 12 making it a medium risk.

Another example might be changing lighting in a theatre studio using stepladders at a height of 30ft. The severity could be 5 because a fall at that height could easily result in a death and the likelihood of that scenario could be 4 as it is probable giving a rating of 20 placing it in the high-risk category.

Additional Control Measures

Once you have carried out your assessment of risk relating to the existing arrangements, you can now consider whether these arrangements are adequate. Clearly, if something comes up as a high priority, something needs to be done. Referring to HSE guidance, when reducing risk we should be taking practical steps to include:

1. trying a less risky option
2. preventing access to the hazards
3. organising work to reduce exposure to the hazard
4. issuing protective equipment
5. providing welfare facilities such as first aid and washing facilities
6. involving and consulting with workers

You now need to consider applying the principles above and ask yourself a few questions about the existing control measures. Are they still relevant? Has anything changed? Can we do things differently to actually remove/the hazard or reduce the risk? You can now consider whether additional measures can be introduced and this is captured in the second part of the risk assessment in the 'Additional control measures' part.

Significant Hazards What could cause harm?	What harm might occur, and to whom? Remember to consider all affected groups	Existing control measures	Risk Rating (current controls)			Additional control measures What can we do / use / put in place to further reduce the risks to an acceptable level.	Residual Risk		
			L	S	RR		L	S	RR

As an example, looking at the working at height scenario in the theatre above, changes that could be introduced could be to engage contractors to do all the maintenance which will remove the risk completely but that might not be reasonable given the cost. Issuing protective equipment (4) will not address the risk of falling and neither will points 5 and 6. This leaves points 1, 2 and 3 and so options could be to ensure that lighting rigs have to be lowered thus avoiding the risk of working at height completely or carrying out the work from elevated working platforms – both reasonable options. Therefore, in this section you could set out the additional measures, but decide which one you are going for and set it out, either lowering the lighting rig or using an elevated platform. It might be that you will lower the rig for the majority of the time, but also hire in or use an elevated platform for occasional work. In this scenario, you would include both in this section. Let us imagine we are just going to implement a system whereby we upgrade lighting rigs to ones that can be lowered, thus avoiding all work at height.

Significant Hazards What could cause harm?	What harm might occur, and to whom? Remember to consider all affected groups	Existing control measures	Risk Rating (current controls)			Additional control measures What can we do / use / put in place to further reduce the risks to an acceptable level.	Residual Risk		
			L	S	RR		L	S	RR
Working at height changing lights at height	Staff falling from height approx. 30ft	• Use of step ladders • Training in safe system of work • Maintenance of step ladders • Clear floor to ensure level • Work in pairs	4	5	20	• Change all fixed lighting rigs and replace with ones that can be lowered hence removing the risk of working at height • Lower rigs to change lighting • Prohibit all work above 2m • Maintain all lifting equipment in accordance with LOLER	1	1	1

If we take the option to avoid working at height by lowering the lighting rig, the risk of death has now been removed completely and so the severity score can drop down to 1 and the likelihood is 1 making a risk rating of 1 (1 X 1 = 1). This is an example of how we can eliminate risk by changing the way we do things by improving control measures, ensuring training is provided and the safe system of work is followed to reduce risk. The other option is to provide a mobile working platform that still involves working at height, but in a safe manner. There is still a risk of death because it still involves working at height and so severity could remain at 5, however it is now being carried out safely, by trained staff using the appropriate equipment. You could argue that the likelihood has now dropped down to 2 because if carried out safely, there should be little risk of a fall from height. The important point is that the risk rating has now dropped from high risk, down to medium. This could be an example of implementing improved control measures and ensuring training is provided and the safe system of work is followed to reduce risk. This is an important point because risk assessment is not always about addressing the severity, in fact, it is common that the severity remains the same, but it is the ***likelihood*** that we are influencing and as a result, we are reducing the risk rating to what we call a tolerable level. In other words, we are not aiming for no risk, instead we aiming for risks that we control, are acceptable and are manageable.

Once you have completed this section there may be things that need to be put in place in order to achieve the issues set out in the 'Additional control measures' section. If this is the case, they can be listed in the 'Action Required' section. Rather than just listing them, you will need to identify who is responsible, set a time frame and then confirm when the work is completed – that way, we can be sure it has been done and someone has taken ownership.

Action number	Action required	Who is responsible?	By when?	Date completed
A1	Remove all fixed lighting rigs and replace with ones that can be lowered	NAME	DATE	
A2	Draft a new safe system of work to cover this activity and provide training to all staff	NAME	DATE	

5.8 Record Significant Findings

By following this prescribed process, you will have now identified and assessed the hazards and using this template, you have automatically recorded your significant findings. A copy should now be placed in your departments Risk Database so that it can be monitored and shared.

5.9 Review and Update

There is no legally defined period to review your risk assessment. However, all risk assessments should be reviewed after a set time depending on the risk. In general, an annual review is common practice and should be adopted and the review date specified in the form. You also need to consider other reasons for reviewing your risk assessment and can include:

a) Significant changes in the work activity/environment
b) Changes in personnel
c) Technical changes (equipment/processes) allowing a safer way to perform the task
d) Following an incident/ill health or near miss

If you do review the risk assessment please ensure that this is recorded and importantly, sets out the updated or new control measures identified (see paragraph 5.13)

Risk assessment is as simple as that. If you follow this procedure, you will be following the HSE suggested format '5 Steps to Risk Assessment' as follows

1. Identify the hazard
2. Determine who might be harmed
3. Evaluate the risks and decide on control measures
4. Record your significant findings
5. Review your assessment and update if necessary

Be methodical and consider all possible hazards. Take ownership of the process and if you need any assistance, you just need to contact Safety Services.

5.10 Risk Database

Once the risk assessment has been completed, it will need to be placed on the department Risk Database. This can be a paper or online database and if the risk assessment has been completed online, it will automatically be placed on a database. The benefit of this is to share knowledge and best practice, to save time and effort and introduce consistency into the process. The database should be managed and subject to regular audit to ensure assessments are being carried out, managed and control measures implemented. It is important that at all times, the Risk Database can be accessed and assessments are available for inspection. An example of a Risk Database template can be found in Appendix 4.

5.11 Process Flow Diagram

See Appendix 5 for a detailed flow diagram of the risk assessment process

5.12 Completing the Form RA1 for an Assessment Relating to Brand New Activities

This could be a new exhibition, a new field trip, a new activity or use of a new environment etc. To begin with, simply follow paragraphs 5.3, 5.4, 5.6 and 5.7. Please note, for an assessment of a brand new activity, the principles are the same as above, just ensure that you tick the New Assessment section on page 1. When completing RA1, enter the new control measures that you have identified in the 'existing control measures' section. You should not complete the 'Additional control measures' section and so this should be left blank. If actions are needed, then the 'Action Required' section will need to be completed. See an example Appendix 6

5.13 Completing the Form RA1 as Part of a Risk Assessment Review

With reference to para 5.9, there is an expectation that risk assessments will be reviewed and this is set out in paragraph 5.9. When you want to review an existing assessment, you will need to tick the 'Risk Assessment Review' box, alter the assessment date and enter a new review date. After reviewing existing arrangements, you will need to determine whether any further measures are needed. If they are, they need to be added in the 'Additional control measures' section and follow paragraph 5.7 onwards. See an example Appendix 7

6. CLOSING THE LOOP

6.1 Audit and Priority

Once the risk assessment has been placed onto the Risk Database, it now needs to be managed. Firstly, the activities or hazards presenting the greater risk with the highest risk rating will require more immediate attention (once you have received training in risk assessment this will make more sense). The higher the

risk rating, the closer the activity will need to be monitored and the shorter the time frame for implementing the control measures (although this is dependent on the complexity of the issues). The Head of Department has responsibility for ensuring this happens although in practice this can and should be delegated down to a competent person to oversee this aspect. The audit should consider if actions have been completed and whether the significant findings have been brought to the attention of staff and others. Periodically, Safety Services will conduct audits against this SCoP and findings reported to the Safety, Health and Wellbeing Committee.

6.2 Sharing the Risk Assessment

To close the risk assessment process, all staff and others who may be affected by the hazards will need to be made aware of the significant findings of the assessment and control measures. This will ensure all significant risks are being managed and the University continues to provide a safe working environment.

The Head of Department is responsible for ensuring mechanisms are in place for this to be managed. Critical control measures, for example permit to work arrangements will need closer consideration. Controls addressing significant hazards may need formal training and this should be documented. The important issue is that there is an action following each assessment and this should be recorded in the 'Action required' section, in particular, how are the significant findings being brought to the attention of staff and others.

7. APPENDIX 1 Management of Health and Safety at Work Regulations 1999 Schedule 1

GENERAL PRINCIPLES OF PREVENTION

(This Schedule specifies the general principles of prevention set out in Article 6(2) of Council Directive 89/391/EEC)(1)

a) avoiding risks;

b) evaluating the risks which cannot be avoided;

c) combating the risks at source;

d) adapting the work to the individual, especially as regards the design of workplaces, the choice of work equipment and the choice of working and production methods, with a view, in particular, to alleviating monotonous work and work at a predetermined work-rate and to reducing their effect on health;

e) adapting to technical progress;

f) replacing the dangerous by the non-dangerous or the less dangerous;

g) developing a coherent overall prevention policy which covers technology, organisation of work, working conditions, social relationships and the influence of factors relating to the working environment;

h) giving collective protective measures priority over individual protective measures; and

i) giving appropriate instructions to employees.

8. APPENDIX 2 LEGISLATION and GUIDANCE

ASSESSMENT	LEGISLATION	SCoP
General risk assessment	Management of Health and Safety at Work Regulations 1999 Reg 3	SCoP 02
Assessment of a new or expectant mother	Management of Health and Safety at Work Regulations 1999 Reg 18	TBC
Assessment of a young person (<18) whilst at work	Management of Health and Safety at Work Regulations 1999 Reg 19	TBC
Assessment of noise at work	Control of Noise at Work Regulations 2005 Reg 5	TBC
Assessment of manual handling	Manual Handling Operations Regulations 1992 Reg 4	TBC
Assessment of hazardous substances	Control of Substances Hazardous to Health Regulations 2002 Reg 6	TBC

GUIDANCE	REFERENCE
Risk Assessment A brief guide to controlling risks in the workplace	HSE INDG 163
Health and safety toolbox	HSE HSG268
Risk – Controlling the risks in the workplace	HSE webpages
Risk Management	HSE webpages
Example risk assessments	HSE Webpages
Sensible risk management	HSE webpages
ALARP "at a glance"	HSE webpages – note this is the guidance on 'reasonably practicable'
Control the risk in your workplace	HSE webpages

9. APPENDIX 3 RISK ASSESSMENT TEMPLATE

University of Worcester

RISK ASSESSMENT FORM RA1

To be read with SCoP02 'Risk Assessment' setting out how the form should be completed and the University approach to risk assessment. Please ensure you are ***competent*** *to carry out the assessment, if you have any doubts please seek advice from your line manager. Once completed, the control measures must be adhered to and the form placed in the local Risk Assessment Register.* For further guidance, please refer to the guidance document Risk Assessment SCoP2.

Activity being assessed:						Reference no:	
NEW ASSESSMENT		RISK ASSESSMENT FOR EXISTING ACTIVITIES		RISK ASSESSMENT REVIEW			
Location:				Assessment date:		Review date:	
Assessment carried out by (name / job title):				Signature of Risk Assessor			

Likelihood	Guide Description	Chance
5	Almost certain/imminent	>90%
4	Probable – a strong possibility of it happening	50%-90%
3	Possible – it may happen or it may have happened before	10%-50%
2	Unlikely - could happen but unusual	3%-10%
1	Rare – highly unlikely to occur	<3%

Severity	Guide Description
5	Catastrophic - fatality, multiple injuries
4	Major – significant injury, hospitalisation
3	Moderate - injury requiring further treatment, lost time
2	Minor - first aid injury, no lost time
1	Negligible – insignificant injury

Likelihood (L)	Severity (S) 1	2	3	4	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

Risk Rating (RR)	Action
High Risk	Stop the task/activity until controls can be put into place to reduce the risk to a tolerable level
Medium Risk	Determine if further controls are required to reduce risk to as low as is reasonably practicable
Low Risk	No further action, keep under review

RISK ASSESSMENT FORM RA1

Significant Hazards What could cause harm?	**What harm might occur, and to whom?** Remember to consider all affected groups	**Existing control measures**	**Risk Rating (current controls)**			**Additional control measures** What can we do / use / put in place to further reduce the risks to an acceptable level?	**Residual Risk**		
			L	**S**	**RR**		**L**	**S**	**RR**

RISK ASSESSMENT FORM RA1

Action Ref	Action required	Who is responsible?	By when?	Date completed

10. APPENDIX 4 RISK DATABASE TEMPLATE

School/Dept.		Section			
Assessment Ref	**Activity / area assessed**	**Assessment date or last review**	**Assessor**	**Actions Outstanding Y/N**	**Next review**

Signed Head of Dept. School		Name (please print)		Date	

11. APPENDIX 5 PROCESS FLOW FOR RISK ASSESSMENT METHODOLOGY

Heads of Dept put in place arrangements to ensure all work related risks are managed and that all persons engaged in the risk assessment process have received the relevant training

Competent member of staff dentifies the activity to be assessed using the template RA1

Identify the hazards of the activity or location which could be physical, biological, organisational, ergonomic or chemical

Identify who may be affected

students/staff/contractors/visitors and how they might be affectd

Set out the existing control measures and assess the risk to give a risk rating

Consider whether the existing control measures are adequate - remember your assessment must be **suitable and sufficient**

If additional measures are needed, set them out and re-assess to give a second risk rating in the Residual Risk section of RA1

If necessary, complete the Action required section of RA1 remembering to state responsibilities and timeframes

Place the completed risk assessment on the Departmental Risk Database making sure there is a review date specified

The assessment should be reviewed after any signicicant event or changes in operations

Head of Dept to ensure the risk assessment process is subject to an audit and that higher risk activities are prioritised for action and the control measures cascaded to staff and others

12. APPENDIX 6 RA1 RELATING TO A BRAND NEW ACTIVITY

University of Worcester

RISK ASSESSMENT FORM RA1

To be read with SCoP02 'Risk Assessment' setting out how the form should be completed and the University approach to risk assessment. Please ensure you are ***competent*** *to carry out the assessment, if you have any doubts please seek advice from your line manager. Once completed, the control measures must be adhered to and the form placed in the local Risk Assessment Register.* For further guidance, please refer to the guidance document Risk Assessment SCoP2.

Activity being assessed:	Clearing Leaves From Gutter in (location)				Reference no:	WAH12
NEW ASSESSMENT	X	RISK ASSESSMENT FOR EXISTING ACTIVITIES		RISK ASSESSMENT REVIEW		
Location:	LOCATION			Assessment date:	1 Oct 2017	Review date: 1 Oct 2018
Assessment carried out by (name / job title):	Paul Simon Senior Maintenance Manager			Signature of Risk Assessor	*Paul Simon*	

Likelihood	Guide Description	Chance
5	Almost certain/imminent	>90%
4	Probable – a strong possibility of it happening	50%-90%
3	Possible – it may happen or it may have happened before	10%-50%
2	Unlikely - could happen but unusual	3%-10%
1	Rare – highly unlikely to occur	<3%

Severity	Guide Description
5	Catastrophic - fatality, multiple injuries
4	Major – significant injury, hospitalisation
3	Moderate - injury requiring further treatment, lost time
2	Minor - first aid injury, no lost time
1	Negligible – insignificant injury

Likelihood (L)	Severity (S) 1	2	3	4	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

Risk Rating (RR)	Action
High Risk	Stop the task/activity until controls can be put into place to reduce the risk to a tolerable level
Medium Risk	Determine if further controls are required to reduce risk to as low as is reasonably practicable
Low Risk	No further action, keep under review

Significant Hazards What could cause harm?	**What harm might occur, and to whom?** Remember to consider all affected groups	**Existing control measures**	**Risk Rating (current controls)**			**Additional control measures** What can we do / use / put in place to further reduce the risks to an acceptable level?	**Residual Risk**		
			L	**S**	**RR**		**L**	**S**	**RR**
Fall from height	Staff engaged in work serious injury/death	• Due to the length and nature of the activity, ladders will NOT be used. Instead, either scaffold or a mobile elevated work platform will be used. The choice of method of work will be set out in the Safe Working Procedure WAH1 • All staff to be trained to ensure safe use and setting up of equipment (see Safe Working Procedure WAH1) • Only trained competent staff to erect scaffold. Scaffold to be subject to routine checks as set out in Safe Working Procedure WAH1 • Restrict work to those trained and authorised to carry it out. Authorisation will be in writing and agreed by the Supervisor	2	5	10				
Adverse weather conditions	Staff engaged in work cold/sunstroke/hypothermia etc.	• Supervisor makes a decision as to when to carry out work. The work shall not be conducted in extreme weather i.e. ice and snow • Staff provided with warm, waterproof clothing and safety shoes	2	1	2				

Being struck by objects falling from gutter and equipment/tools	Staff or pedestrians below work activity. Injury cuts, bruises or more serious depending on what has hit them	• Cordon off work area to prevent access below and have signage in place • Staff only take equipment needed for work and carry in belts or secured separately	4	2	8				

Action Ref	Action required	Who is responsible?	By when?	Date completed
WAH 1	Draft Safe Working Procedure	Paul Simon	20 Oct 2017	

13. APPENDIX 7 RA1 RELATING TO A RISK ASSESSMENT REVIEW

University of Worcester

RISK ASSESSMENT FORM RA1

To be read with SCoP02 'Risk Assessment' setting out how the form should be completed and the University approach to risk assessment. Please ensure you are ***competent*** *to carry out the assessment, if you have any doubts please seek advice from your line manager. Once completed, the control measures must be adhered to and the form placed in the local Risk Assessment Register.* For further guidance, please refer to the guidance document Risk Assessment SCoP2.

Activity being assessed:	Clearing Leaves From Gutter in (location)				Reference no:	WAH12
NEW ASSESSMENT		RISK ASSESSMENT FOR EXISTING ACTIVITIES		RISK ASSESSMENT REVIEW		X
Location:	LOCATION			Assessment date:	1 Oct 2018	Review date: 1 Oct 2019
Assessment carried out by (name / job title):	Paul Simon Senior Maintenance Manager			Signature of Risk Assessor	*Paul Simon*	

Likelihood	Guide Description	Chance
5	Almost certain/imminent	>90%
4	Probable – a strong possibility of it happening	50%-90%
3	Possible – it may happen or it may have happened before	10%-50%
2	Unlikely - could happen but unusual	3%-10%
1	Rare – highly unlikely to occur	<3%

Severity	Guide Description
5	Catastrophic - fatality, multiple injuries
4	Major – significant injury, hospitalisation
3	Moderate - injury requiring further treatment, lost time
2	Minor - first aid injury, no lost time
1	Negligible – insignificant injury

Likelihood (L)	Severity (S) 1	2	3	4	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

Risk Rating (RR)	Action
High Risk	Stop the task/activity until controls can be put into place to reduce the risk to a tolerable level
Medium Risk	Determine if further controls are required to reduce risk to as low as is reasonably practicable
Low Risk	No further action, keep under review

University of Worcester

RISK ASSESSMENT FORM RA1

Significant Hazards What could cause harm?	**What harm might occur, and to whom?** Remember to consider all affected groups	**Existing control measures**	**Risk Rating (current controls)**			**Additional control measures** What can we do / use / put in place to further reduce the risks to an acceptable level.	**Residual Risk**		
			L	**S**	**RR**		**L**	**S**	**RR**
Fall from height	Staff engaged in work serious injury/death	• Due to the length and nature of the activity, ladders will NOT be used. Instead, only a mobile elevated work platform will be used. • All staff to be trained to ensure safe use and setting up of equipment (see Safe Working Procedure WAH1) • Restrict work to those trained and authorised to carry it out. Authorisation will be in writing and agreed by the Supervisor	2	5	10	• Decision taken to only use a mobile elevated work platform	2	5	10
Adverse weather conditions	Staff engaged in work cold/sunstroke/hypothermia etc.	• Supervisor makes a decision as to when to carry out work. The work shall not be conducted in extreme weather i.e. ice and snow • Staff provided with warm, waterproof clothing and safety shoes	2	1	2		2	1	2
Being struck by objects falling from gutter and equipment/tools	Staff or pedestrians below work activity. Injury cuts, bruises or more serious depending on what has hit them	• Cordon off work area to prevent access below and have signage in place • Staff only take equipment needed for work and carry in belts or secured separately	4	2	8		4	2	8

University of Worcester

RISK ASSESSMENT FORM RA1

Action Ref	Action required	Who is responsible?	By when?	Date completed
WAH 1	Draft Safe Working Procedure	Paul Simon	20 Oct 2017	20 Oct 2017
WAH2	Draft new Safe Working Procedure to take into account only use MEWP	Paul Simon	8 October 2018	

14. APPENDIX 8 ASSESSMENTS MANAGED BY ESTATES AND FACILITIES

Estates and Facilities manage the following centrally and therefore do not need to be replicated locally:

1. Fire risk assessments
2. COSHH Assessments relating to cleaning
3. Legionnaires assessments and water treatment
4. Assessments relating to emergency evacuation
5. All work relating to centrally arranged maintenance, construction and refurbishment
6. Vehicle movements across the University
7. Assessments relating to asbestos within the fabric of the buildings