HEREFORDSHIRE COUNCIL

Health & Safety Arrangements Risk Assessment

Herefordshire Council

Manual:	HSA015 (Risk Assessment Arrangements)	Issue:	Final V2
		Reviewed:	April 2018
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AUTHORISATION

The Human Resources Team (Health and Safety) is responsible for publishing policies and arrangements within a hierarchy of similar publications. Readers wishing to quote these policies and arrangements as reference material in other work should confirm with the Human Resources Team whether the individual particular publication and amendment state remains authoritative.

DISTRIBUTION

Distribution of policies and arrangements is managed by the Human Resources Team. Requests for issue of this publication, or amendments to its distribution should be referred to the Health and Safety Team: healthandsafety@herefordshire.gov.uk

LINKS TO HEALTH AND SAFETY ARRANGEMENTS

This document should be read in conjunction with the Health & Safety Policy HSP001 and the responsibilities outlined within will apply to the implementation of these Risk Assessment arrangements.

AMENDMENTS

This document replaces:

Risk Assessment & Control – Level 2

http://hc-sp/DocumentLibrary/LegalServices/Documents/Health_and_Safety/Health_and_Safety_Risk_Assessment/Risk_Assessment_and_Control_General_Arrangement.doc?

Risk Assessment & Control – Management Arrangements Level 3

http://hc-sp/DocumentLibrary/LegalServices/Documents/Health_and_Safety/Health_and_Safety_Risk_Assessment/Risk_Assessment_Management_Arrangement.doc?

Risk Assessment Procedure – Level 4

http://hc-sp/DocumentLibrary/LegalServices/Documents/Health_and_Safety/Health_and_Safety_Risk_Assessment/Risk_Assessment_Procedure.doc

Risk Assessment Protocol – RAP1 Level 5

http://hc-sp/DocumentLibrary/LegalServices/Documents/Health_and_Safety/Health_and_Safety_Risk_Assessment/Risk_Assessment_Protocol_RAP1.doc

Risk Assessment Form – RAC1 – Level 5

http://hc-sp/DocumentLibrary/LegalServices/Documents/Health_and_Safety/Health_and_Safety_Risk_Assessment/Risk_Assessment_Form_RAC1.doc

Risk Control Action Form – RAC2 – Level 5

http://hc-sp/DocumentLibrary/LegalServices/Documents/Health_and_Safety/Health_and_Safety_Risk_Assessment/Risk_Control_Action_Form_RAC2.doc

Risk Assessment Register – RAC3 – Level 5

http://hc-sp/DocumentLibrary/LegalServices/Documents/Health_and_Safety/Health_and_Safety_Risk_Assessment/Risk_Assessment_Register_RAC3.doc

The Health and Safety Team is responsible for the writing and maintenance of this document. In so doing, they have consulted with the Corporate Health and Safety Committee and Trade Unions. Comments on factual accuracy or proposals for amendment are welcomed by the HR Team who will give consideration to any proposed amendments and, if appropriate, ensure that all modifications are incorporated into this document. The document will be formally reviewed on an annual basis, with amendments issued as appropriate; any significant changes will be addressed via amendments as and when necessary.

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Initial Checklist

☑ All work activities, no matter how occasional, (that includes situations in which someone may be harmed), must be subject to a risk assessment.

☑ The assessments need to be undertaken by suitably competent persons who are experienced in the activity or process.

☑ The assessment must be undertaken to a suitable and sufficient depth and the findings recorded.

☑ Steps identified and put in place to reduce risks must be adequate to control hazards as far as is reasonably practicable.

☑ Assessments must be reviewed at least annually, but sooner if there is any reason to suggest that there has been significant changes.

☑ Specific risk assessments must be undertaken in respect of the use of chemicals and exposure to hazardous substances, display screen equipment, manual handling and fire.

☑ General workplace risk assessments need to specifically consider risks to new and expectant mothers and young people.

☑ Staff should be made aware of the findings of risk assessments and the control measures required.

☑ Where appropriate, members of the public or other third parties must be made aware of the control measures in place.

Introduction

Risk assessments are carried out in order to evaluate the extent and significance of workplace hazards so that the appropriate control measures can be put in place to safeguard employees and others.

Risk assessment is the key to successful management of health and safety at work. It is a **continuous process**, and a full explanation of the process in the context of the systematic management of health and safety can be found in the Health and Safety Executive's (HSE) publication HSG 65 - http://www.hse.gov.uk/managing/

Once the assessment is completed and recorded, the documents become a blue print for action to remove hazards and to lower the risk associated with each work activity.

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Legislative Requirements

Health and Safety at Work Act 1974
Management of Health and Safety Regulations 1999 - http://www.hse.gov.uk/pUbns/hsc13.pdf

Methodology adopted

The regulations do not specify any particular methods of carrying out risk assessments but do require that the assessments focus on significant risks, are suitable and sufficient, are duly recorded and communicated to all who may be affected, and reviewed regularly (but at least annually).

In order for assessments to be suitable and sufficient the assessor must be competent with an appropriate combination of knowledge, experience and training in the field to be assessed to enable them to:

- evaluate the impact of specific legal requirements and the need for risk assessments;
- formulate an appropriate action plan to remove the hazard and control the risks;
- Co-ordinate the implementation work.

To this end, appropriate training will be provided to relevant staff in order for them to undertake the required risk assessments effectively. Please contact the Health & Safety Team for more details healthandsafety@herefordshire.gov.uk

Essential Steps to Risk Assessments

The five basic requirements for successful risk assessment are:

- ☑ Identify hazards;
- ☑ Decide who may be harmed;
- ☑ Evaluate the risks – considering the likelihood of it occurring and the seriousness of potential impact;
- ☑ Record significant findings;
- ☑ Review annually or before this if changes that affect the assessment are identified.

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Step 1 - Identify the hazards

A key part of risk assessment is identifying the significant hazards that relate to your relevant work activities. It is important to understand that 'hazard', by definition, is an entirely separate term to 'risk'.

Definition of a hazard – A hazard is something that can cause adverse effects. For example:
- Water on a staircase is a hazard, because you could slip on it, fall and hurt yourself;
- Loud noise is a hazard because it can cause hearing loss;
- Breathing in asbestos dust is a hazard because it can cause cancer.

Definition of a risk – A risk is the likelihood that a hazard will actually cause its adverse effects, together with a measure of the effect. It is a two part concept and you have to have both parts to make sense of it, namely the likelihood or probability and the effect in relation to the consequences or severity.

Step 2 - Decide who might be harmed

For each hazard you need to be clear about who might be harmed. Tt will help you identify the best way of managing the risk, and, in each case, you will need to identify how they might be harmed, i.e. what type of injury or ill health might occur. For example, shelf stackers may suffer back injury from repeated lifting of boxes. You will specifically need to consider:

- Young workers, trainees, new and expectant mothers who might be at particular risk;
- Cleaners, visitors, contractors, maintenance workers who may not be in the workplace all the time;
- Members of the public, or people who share your workplaces.

Step 3 - Evaluate the risks

Consider how likely it is that each hazard could cause harm and become a risk and then determine whether or not you need to do more to reduce the risk. You will need to refer to relevant legislative requirements and evaluate whether you currently comply. Reference should be made to the table of legislation, approved codes of practice, guidance notes etc. as in seen in **Appendix 2.**

Then you will need to decide whether more can be put in place to ensure that you have done what is reasonably practicable to safeguard employees and others (as appropriate).

The aim is to reduce risks to as low a level as possible by adding precautions/risk control measures as necessary. To assist in this evaluation you are required to rate the risks accordingly by considering factors such as the likelihood and severity, and to this end reference should be made to the Risk Rating Matrix as below.

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Consequences/Severity

Negligible - No real injury or very minor injury such as a slight graze or minor abrasion.

Minor - Injury or illness fairly minor. Likely to lead to no time loss or less than a day of lost time.

Moderate - Those injuries or diseases classified as 'notifiable' by RIDDOR where there is the potential for hospital attendance, but recoverable or treatable.

Major – Such as a fracture or amputation where bone or joint is severed, loss of eyesight or any injury or ill health that has the potential to give rise to a stay in hospital over 24hrs.

Catastrophic - Multiple fatalities. Single Death or terminal illness of person involved.

Likelihood

Rare - Highly improbably or very low chance.

Unlikely - Unlikely to occur in foreseeable future, though possible. Very low or infrequent.

Possible - Could or does occur occasionally. Exposure is significant.

Likely- Occurs repeatedly on a regular basis or exceeds set limits.

Almost Certain - Highly probable.

Risk Rating Matrix

Decide on Severity of harm eg. Major (4)

Decide on how likely eg. Unlikely (2).

Severity/ Consequence	Likelihood				
	1	2	3	4	5
	Rare	Unlikely	Possible	Likely	Almost Certain
5 Catastrophic	5	10	15	20	25
4 Major	4	8	12	16	20
3 Moderate	3	6	9	12	15
2 Minor	2	4	6	8	10
1 Negligible	1	2	3	4	5

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This is the risk rating
*For example this has been evaluated as **High risk***
*as it has scored **8 (4x2=8)** in the orange sector*

	1 – 3	**Low risk**
	4 – 6	**Moderate risk**
	8 – 12	**Tolerable Risk**
	15 - 25	**Extreme risk**

Hierarchy of Controls

In deciding on additional risk reduction/control measures, the following 'hierarchy' of controls should be considered:

- Try to eliminate the activity or some of the hazards associated with it.
- Reduce the size of the hazards e.g. do it less often or use smaller amounts!
- Try to control the risk at source e.g. it is better to prevent a dusty environment in the first place than to provide all workers with a dust mask.
- Issuing verbal instructions. When deciding controls try to avoid reliance on people. Human error & deliberate violations are common place!
- Provide appropriate Personal Protective Equipment (PPE) if still needed after carrying out the above.

Risk Management

In line with the hierarchy of controls, as above, the aim is to eradicate risk, however it is appreciated that this is not always possible as certain tasks and activities need to be carried out and a sensible and proportionate risk management strategy implemented. The following explains the typical actions required to **manage different risk categories**. In simple terms, the higher the risk category, the greater the potential for a serious incident, injury or fire and, consequently, greater controls are required.

If the initial risk rating is low, then continue with existing control measures and ensure active monitoring. However, if the initial risk rating is medium/moderate then you will need to look at additional controls, and if the risk is high you are required to take action as soon as possible to bring the risk down to an acceptable and manageable level.

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1	An unacceptable **extreme risk** - risk rating of 15 +.

Such risks are unacceptable and work should not commence. If work is already in progress, it should be suspended until such actions are taken as to reduce or control the risks. **These should be implemented as soon as possible and certainly within 2 weeks**. If work needs to continue, robust temporary control measures should be well documented and all those at risk fully briefed until a more permanent solution is implemented. A **permit to work system** may be utilised in order to document a safe system of work and control/reduce risks to an acceptable level. Contact the Health and Safety Team for advice.

2	A tolerable **high risk** – risk rating of 8 - 12

Such workplace risks are high risk but tolerable and, generally, work can commence or continue. However, a written action plan should be developed to further reduce or control the risks to a more acceptable level. This should be undertaken **within 3 months**, and in the interim, existing controls require careful management and supervision to ensure their effective implementation. Additional control measures, once implemented, should be regularly monitored to ensure their continuous effectiveness. Contact the Health and Safety Team for advice

3	A **moderate** risk - risk rating of 4 – 8

Such risks are moderate and generally seen as being acceptable, however, if identified, additional control measures should be implemented **within 6 months**. In the interim, existing controls are required to be monitored to ensure their continued effectiveness, and once implemented additional risk control measures should be routinely monitored.

4	An **acceptable low** risk - risk rating of below 4

Such risks are acceptable without any specific workplace controls being required. Any existing controls are appropriate to manage the risks. However, management supervision and employee training are required to ensure the existing controls, including the use of personal protective equipment (PPE) as appropriate, are being implemented effectively.

It is appreciated that implementation of additional measures will not happen overnight; therefore a prioritised 'Action Plan' needs to be drawn up with appropriate timescales for completion. These will need to correspond to the residual risk rating and such actions will need to be tracked/monitored to completion in order to 'close off' the assessment and ensure that all reasonably practicable measures have been adopted to reduce/control the risk accordingly.

If such risks are not reduced in line with the agreed timescales, they will need to be escalated and included on the service risk register and decisions taken on contingencies and mitigation.

Step 4 - Recording the significant findings

You need to be able to demonstrate that your assessment is suitable and sufficient, i.e. that you have taken into account all relevant factors (the hazards/risk of the activity, who might be affected, what the law requires as a minimum standard, whether this is sufficient to reduce the risk and what further actions are required).

Additionally, it is a requirement to inform employees of these significant findings, and refer them to associated safe systems of work (safety procedures), ensuring that they understand what is required of them to carry out tasks safely.

NB: Findings from your risk assessments will form the basis of your safe system of work.

All departments completing risk assessments should now upload them to the new central system. This new system is located on the Health and Safety toolkit homepage/Risk Assessments. Each directorate, including Hoople, now have a section where they can store there risk assessments centrally. These can be viewed by all employees within the organisation but can only be altered by those who submitted the original document.

Generic risk assessments have been provided to offer individuals guidance. These can be downloaded from the system and altered accordingly to fit any department's situation.

Step 5 - Reviewing the assessment at appropriate intervals

Risk assessments need to be reviewed regularly and at least annually or more frequently if there is a significant change to the way an activity is carried out which may introduce/increase risks (new staff, new process, amended legislation). If there is an incident involving the risk assessed activity, it is mandatory to review the risk assessment as part of your incident investigation.

Revisions will need to be communicated to all relevant employees.

The new central risk assessment system has automated workflows built in meaning that the individual who submitted the risk assessment will be sent an email alert eleven months and three weeks from the submission date reminding them that their risk assessment is due for a review. This leaves the individual one week to review/update their risk assessment before becoming non-compliant. Risk assessments of a sensitive nature or high risk will need to be updated and review more frequently.

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Specific Risk Assessments

In addition to the duty to carry out general risk assessments, there is a requirement to carry out specific risk assessments for certain risks and activities, such as for the use of chemicals or exposure to harmful substances (which includes biological), manual handling, work with display screen equipment and checklists completed for consideration of risks for new and expectant mothers and for young persons.

In these circumstances, the Council provides a specific risk assessment template and/or checklists as detailed below. Further advice and guidance is also available in the form of associated arrangements and/or the HSE website (please refer to links).

COSHH (Control of Substances Hazardous to Health)	
COSHH Arrangements & COSHH Risk Assessment HSE COSHH Guidance	http://www.hse.gov.uk/pubns/indg136.pdf
DSE (Display Screen Equipment)	
DSE Arrangements & DSE Risk Assessment HSE 'Working with VDU's'	https://apps.herefordshire.gov.uk/healthandsafety/Shared%20Documents/HSA005%20DSE%20Assessment%20Arrangements.doc http://www.hse.gov.uk/pubns/indg36.pdf
Manual Handling	
Manual Handling Guidance Manual Handling Assessment	https://apps.herefordshire.gov.uk/healthandsafety/Shared%20Documents/HSA012%20-%20Manual%20Handling%20Arrangements.doc
New & Expectant Mothers	
H&S Arrangements for New & Expectant Mothers *(HSA013.2012.09 V1)* *HSE New & Expectant Mothers Information*	https://apps.herefordshire.gov.uk/healthandsafety/Shared%20Documents/HSA013%20Expectant%20Mothers%20Arrangements.doc http://www.hse.gov.uk/mothers/

Further advice, information and guidance

Health and Safety Executive website
http://www.hse.gov.uk/risk/fivesteps.htm

Health and Safety Executive Risk Assessment case studies and examples
http://www.hse.gov.uk/risk/casestudies/index.htm

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The following, non-exhaustive table lists the principal Health & Safety regulations that apply to the Council and its work activities. Where a regulation has an approved code of practice or other legal guidance published by the Health and Safety Executive (HSE), its reference number is shown in the last column.

Ref	Health & Safety legislation	Abbreviation	ACOP and/or other HSE guidance
1	Health and Safety at Work Act 1974	HSW	
2	Management of Health and Safety at Work Regulations 1999	MHSWR	L21
3	Confined Spaces Regulations 1997	CSR	L101
4	Construction (Design and Management) Regulations 2007	CDM	L144
5	Control of Asbestos Regulations 2012	CAR	L127, L143
6	Control of Noise at Work Regulations 2005	CNAW	L108
7	Control of Substances Hazardous to Health Regulations 2002	COSHH	L5, L8, L55
8	Control of Vibration at Work Regulations 2005	CVAW	L140, L141
9	Dangerous Substances and Explosive Atmospheres Regulations 2002	DSEAR	L138
10	Electricity at Work Regulations 1989	EAW	HS(R)25
11	Health and Safety (Display Screen Equipment) Regulations 1992	DSE	L26
12	Gas Safety (Installation and Use) Regulations 1998	GSI&U	L56
13	Lifting Operations and Lifting Equipment Regulations 1998	LOLER	L113
14	Manual Handling Operations Regulations 1992	MHO	L23
15	Personal Protective Equipment Regulations 1992	PPE	L25
16	Provision and Use of Work Equipment Regulations 1998	PUWER	L22, L114
17	Work at Height Regulations 2005	WAH	
18	Workplace (Health, Safety and Welfare) Regulations 1992	WHSW	L24
19	Regulatory Reform (Fire Safety) Order 2005	RRFSO	
20	Health and Safety (First-Aid) Regulations 1981	FAR	L74