

Code of practice for Risk Assessment

This Code of Practice will be reviewed in line with the Trust review process, and therefore subject to review/revision in response to legislation, standard requirement or audit recommendations. There is therefore no time constraint on this process.

Date adopted by Trust:

Signature:

Date for Review:

Signature:

CODE of PRACTICE for RISK ASSESSMENTS
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SECTION 1

Code of Practice for RISK ASSESSMENT

It is the responsibility of all staff to comply with the Risk Management policy, and to undertake reasonable risk assessments for the risks associated within their work roles, which their line managers have delegated out to them. Staff will therefore be involved in risk identification and will ensure that they adhere to any identified systems of control to reduce risk. The best form of control is to eliminate the risk entirely. This is not always possible, and this risk assessment process helps you to reduce the risk as far as is practically possible.

Risk assessment was introduced to Health and Safety legislation with the Control of Substances Hazardous to Health Regulations 1988.

The purpose of risk assessment is to help us determine what measures should be taken to comply with the employer's duties under the health and safety at Work Act.

This section relates to General Risk assessments. Fire has a step flow chart in section 5 and should then be assessed on the RA1.

Risk assessments can be generic, control mechanisms may be to following policy, or written guidelines. It is IMPORTANT that you record the risk assessments and review them.

Dependant upon category review may be next shift, if HIGH risk, or within 12 months if low risk.

The regulations require that employers undertake a systematic general examination of their work activity and that they should record the significant findings of that risk assessment. In so doing line managers may delegate the task of completing the risk assessment to the staff, and line and senior managers will review the risk assessment and any controls process suggested.

It is essential that the hazard/risk identification process is both wide-ranging and comprehensive. This identification process will be uniformly applied throughout the organisation. All new projects will be as fully risk assessed as possible, in addition to the options analysis developed in association with them. If the new project has significant risk attached to it, and the Board accept this level of risk, this will be recorded within the risk register, and action plans monitored by the risk team.

RISK ASSESSMENTS

Risk assessments are not new and have been made over many years, but in 1992 The Management of Health and Safety at work Regulations required that every employer and self employed person must make a suitable and sufficient assessment of:-

- the risks to health and safety of his employee to which they are exposed whilst they are at work AND

- the risks to health and safety or persons not in his employment arising out of or in connection with the conduct by him or his undertaking.

Where the employer has five or more employees, then all records of risk assessments made must be retrievable either by the management, inspectors, or safety representatives which is in most cases would be in writing and should show:-

- all significant risks identified
- existing control measures
- population potentially affected by the significant risks.

Although not legally required it is a good idea to keep records of all hazards identified whether significant or not at the moment just in case problems develop at some later stage, at which time it would only be necessary to review your previous assessment.

There are a number of other specific assessment that have to be made under the six pack requirements:-

- the making of formal assessments of any manual handling operations that remain after all measures to avoid the need to manually handle. Manual Handling Regulations
- the making of formal assessments to identify the risks to health and safety not avoided by other control measures with reference to the provision of personal protective equipment – Personal Protective Equipment Regulations.
- The health and safety risks to persons exposed at visual display unit workstations – Health and Safety (Display Screen Equipment) Regulations.
- An assessment of the risks of health safety and welfare of employees being exposed to the workplace – The Workplace Regulations.

SUITABLE AND SUFFICIENT

In order for a risk assessment to be accepted as being suitable and sufficient then there are a number of points that will need taking into consideration. Here are a few ideas but it is not an exhaustive list and you will need to look at your own situation.

Identify all significant risks and hazards which are indicated by relevant legislation: - such as machinery, electrical items, fire traps, chemicals, hazardous substances and transport etc. However it should be remembered that hazardous goods could be delivered to your premises and adjacent properties may be a fire risk to your premises.

Concentrate on the daily facets of work activity as very frequently normal working does not follow these manuals. Identify other activities such as maintenance, unloading and loading of deliveries.

Identify specific groups of workers who may be more a risk than the usual operatives such as disabled, partially sighted, lone workers, young or old inexperienced.

Identify all groups potentially at risk such as part-time relief staff, maintenance workers, security staff, cleaning workers and visitors.

Monitor existing precautionary measures as they may be adequate for compliance and will ensure continuity of their efficiency.

All emergencies should be checked out as they may indicate they need for review of a risk assessment.

Where assessment are already being carried out under previously laid down Regulations provided that they are written down in an easily retrievable format.

For example COSHH assessments will be satisfactory.

Risk Assessment and Untoward Incidents

Undertaking suitable and sufficient risk assessments is a vital part of the risk management process in minimising and avoiding untoward incidents.

By reviewing all risk assessments in a timely manner (i.e. a high risk would be reviewed daily /weekly or monthly as to progresses from red to amber, and would not be left for three months) suitable preventative mechanisms can be utilised to reduce the risk as far as is reasonably practical.

Our untoward incident policy stresses the importance of reporting “near misses” i.e. where a serious accident or incident (such as injury or death) could have occurred but did NOT occur DUE to one or more factors, such as a member of staff detecting an error or unsafe condition and TAKING appropriate corrective action, thus PREVENTING any injury.

It is reasonable to expect that a Risk Assessment is carried out following a near miss, to assist in the identification of system error, and thus reduce the risk of an untoward incident occurring.

PRINCIPLES OF RISK ASSESSMENT

There are TWO types of risk assessment:-

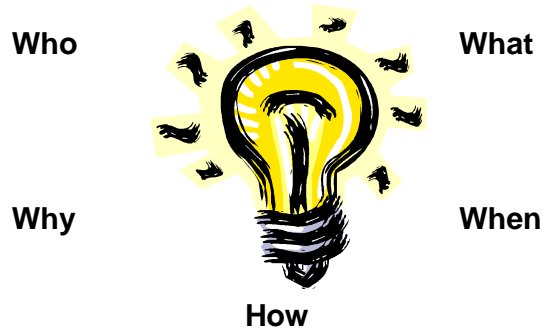
- 1) Quantitative – where the assessment is based upon known facts or data relevant to the type of work process or people in question.
- 2) Qualitative – where the assessment is based upon personal judgment or experience of the work situation in question and may be backed up by some very generalised data.

There are FIVE basic steps to risk assessment:-

1. IDENTIFY the hazards associated with machinery, equipment, processes, tools, tasks, premises in face everything. Some hazards may not be readily identifiable and techniques such as Failure Modes Effects Analysis and Job Safety Analysis may be used.
2. ASSESS the risk by ranking, using such headings as severity rating X probability rating of the particular hazard being realised. The number or employees likely to be involved should also, where applicable, be taken into account.

3. **DECIDE** upon the measures that are needed to reduce the risk to below a significant level but allowing for a Cost Benefit Analysis to be either formally or informally taken into account. Factors which should be considered are the cost of training, replacement of equipment, modifications and other solutions.
4. **IMPLEMENTATION** of identified risk control (also known as the Hierarchy of control) and reduction measures and should enhance a progressive risk reduction strategy
 The safety precedence procedure for effective risk reduction is: -
 - i) hazard elimination – change the process or do not do it.
 - ii) Substitution – replace with safer and less risky substance or process
 - iii) use of barriers – isolation or segregation.
 - iv) Use of procedures – safe system of work, reduced exposure time, permit to work.
 - v) Warning systems – signs, labels, instructions, information
 - vi) PPE – as a last resort but appropriate to the risk identified.
5. **MONITORING** of the risk assessment to ensure that they remain valid and may include health surveillance. A change in process, change in personnel or accidents and incidents may require a review of the risk assessment. There may be guidelines that indicate reviewing assessments on a regular basis no matter what such as COSHH every 5 years.

UNDERTAKING THE RISK ASSESSMENT



WHY

- Duty on the employer to IDENTIFY the risks/hazards
- Makes the staff more aware of the risks/hazards
- The risks are written and catalogued
- EEC Regulations

WHAT

- Substances i.e. chemicals
- Hazards i.e. dangerous practices
- Display screens i.e. computer VDUs
- Lifting and handling i.e. moving heavy equipment

WHO

- The responsibility of doing a Risk Assessment

- Rests with employer. However he will delegate staff to carry out the task

WHEN

- As often as necessary
- No fixed period

HOW

- No fixed rules
- Must be written assessment
- Safety Audits can help!

What does 'Assessment' mean

- (a) Hazards
 - Potential harmful substances or machines
- (b) Risk
 - Likelihood of hazard happening
- (c) Extent
 - How many people will it affect

What is the purpose of Assessment

- To highlight hazards
- Only 'significant' risks arising from routine activities.
- Enable management to 'priorities' measures to be taken.
- Including possible changes to work procedures.

What should the RA do

- Identify, but not obscure risks
- Note how risks conform with other Acts i.e. COSHH
- Assess risks from 'identifiable' hazards
No hazard – No risk
- Effectiveness of controlling risks

So how do you spot hazards?

When existing examining and activity to identify hazards, ask yourself some questions:-

- What exactly am I going to do?
(if necessary list all the steps?)
- What materials will I be dealing with?
- What tools and equipment will I be using?
- When will the job be done? (daytime, night times, time of year etc)
- Where will the job be done? (at height, in a confined space etc)

- How might the activity affect adjacent people/activities/equipment?
- How might the activity be affected by adjacent people/activities/equipment?

How serious?

You need to decide how the hazards compare. Is there effect high (H), medium (M) or low (L) in its seriousness?

- To do this you need to ask questions like:
What is the effect?
- Is it short term or long term effect?
- Does it affect the equipment or people?
- How much damage can it cause?
- How many people can be hurt?
- Is the effect immediate or is there a time delay allowing escape?

What's the probability?

- Is it likely that the hazard will arise every time the job is done, once in 10 or 100 times, or once in a lifetime?
- If the unsafe situation arises, is it certain that the effect will happen?
- Do the characteristics of the job, the people doing it or the equipment being used have any effect on the probability? E.g. the probability may be higher when inexperienced staff are doing a job for the first time.

What's the risk?

HAZARD EFFECT x PROBABILITY = RISK

High x High = High

High x Medium or Medium x High = High

High x Low or Low x High = Medium

Medium x Low or Low x Medium = Medium

Low x Low = Low

Most likely consequences (if in doubt grade up not down)

	Most Likely	Consequences	(If in doubt	Grade up	Not down)
<i>Likelihood of Occurrence</i>	LOW INSIGNIFICANT/ NO INJURY	LOW MINOR/SHORT TERM	MEDIUM MODERATE/SEMI PERMANENT INJURY	SIGNIFICANT MAJOR/ PERMANENT INJURY	HIGH Catastrophic/ death/ destruction
Almost Certain	LOW	LOW	MEDIUM	HIGH	HIGH
Likely	LOW	LOW	MEDIUM	HIGH	HIGH
Possible	VERY LOW	LOW	MEDIUM	HIGH	HIGH
Unlikely	VERY LOW	VERY LOW	LOW	MEDIUM	HIGH
Rare	VERY LOW	VERY LOW	LOW	MEDIUM	HIGH

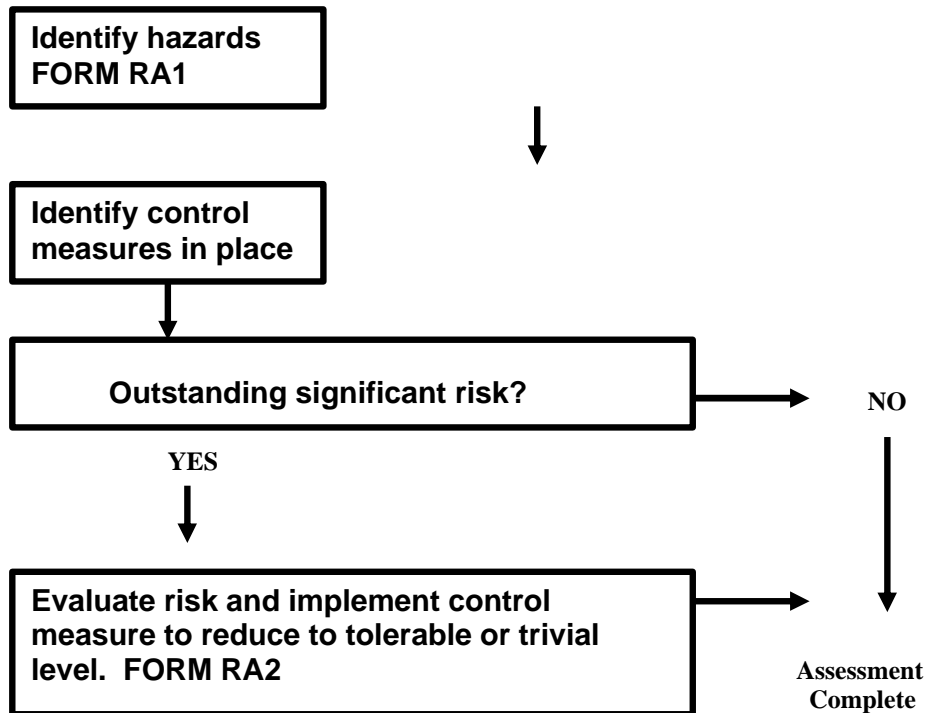
These relate to the Aus NZ/ matrix below, However for ease of use for staff the risk management team will translate the low medium high reports into those that reflect operational impact, and organisational impact. Reviewing the reported gradings of low medium and high, the risk management team will determine the most appropriate AS/NZs (4360:1999) score, and check where it lies within the Trusts determined level of acceptable risk, escalating appropriately.

QUALITATIVE RISK ASSESSMENT MATRIX-LEVEL OF RISK
(Based on the AS/NZS 4360:1999 Risk Management Standard)

		Probability					
		Impossible 0	Rare 1	Unlikely 2	Moderate 3	Likely 4	Certain 5
Consequence	Negligible -0	0	0	0	0	0	0
	Minor – 1	0	1	2	3	4	5
	Serious – 2	0	2	4	6	8	10
	Major – 3	0	3	6	9	12	15
	Fatality – 4	0	4	8	12	16	20
	Multiple fatalities – 5	0	5	10	15	20	25

No Risk	0	Low Risk	1-3	Moderate Risk	4-6	Significant Risk	8-12	High Risk	15-25
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RISK ASSESSMENT FLOWCHART



RISK ASSESSMENT – Identifying hazards, evaluating and prioritising risk

This involves the use of checklists. The first RA1, is used to identify hazards for the activity being assessed. The steps currently taken to prevent the hazard being a risk and any measures can be introduced simply and quickly are also recorded on this form.

Form RA2 is a checklist that helps complete the full risk assessment of hazards and control measures identified on form RA1.

What do we do with them then?

After completing your risk assessments, ensure that it is clearly labelled with the area and the task that it relates too.

Check against the Risk Assessment Check list to ensure that you have considered everything.

Sign and DATE the Risk Assessment.

Keep a copy of your Risk assessment in your risk assessment folder.

Send a copy to: Risk Manager
South Staffordshire PCT

Section 2

Name of Person undertaking RA:
Signature:

South Staffordshire PCT

RA1

Date of RA: / /

RISK ASSESSMENT FORM

Activity:

HAZARD	EFFECT	(HML)	(HML)	(HML)	MINIMISE RISK BY:	RESIDUAL RISK
		Consequ ence	Probab ility	RISK		
FINAL ASSESSMENT:					OVERALL RISK:	

Name of Person undertaking RA:

Date of RA: / /

RA2

Ref no:

Hazard	Level of Risk	H <input type="checkbox"/>	M <input type="checkbox"/>	Risk Evaluation Rating (from form RA1)
Risks				
Existing Prevention/Control Measures			Additional Prevention/Control Measures/Remedial Works/Actions	
Health & Safety Code of Practice ref no.			Yes No	
Amendments Required to Existing Prevention/Control Measures				

Section 3

RISK ASSESSMENT FORM

EXAMPLE

Activity: Water Bed for pressure relief Multi disciplinary decision

HAZARD	Effect	Consequence	X Probability	= RISK	MINIMISE RISK BY:	RESIDUAL RISK
Weight of water on joists	Could cause structural damage	H	M	M	Manufacturers safety recommendations read checked and followed	L
Overloading circuit	Electric shock / Fire	H	H	H	Age of House wiring checked. Wiring inspected. Adequate sockets checked	L
Cutting/ damage to mattress	Risk of Leaking	H	L	M		L
FINAL ASSESSMENT: Sale to proceed with the job					OVERALL RISK:	L

When RA1 complete If overall Risk = H/M then fill in RA2

RISK ASSESSMENT FORM

EXAMPLE

Moving Patients

Activity:

HAZARD	Effect	Consequence	X Probability	= RISK	MINIMISE RISK BY:	RESIDUAL RISK
Patients have restricted mobility	Risk injury to self and patient if try to assist unaided	M	H	M	Assessing Patient BEFORE moving. Use appropriate equipment /assistance Ensure training in using equipment has been provided PRIOR to USING it Provision for assistance made at INITIAL assessment of PATIENT	L
FINAL ASSESSMENT: Sale to proceed with the job					OVERALL RISK:	L

When RA1 complete If overall Risk = H/M then fill in RA2

RISK ASSESSMENT FORM

EXAMPLE

Activity: Lone Working

HAZARD	Effect	Consequence	X Probability	= RISK	MINIMISE RISK BY:	RESIDUAL RISK
Violence and aggression	Distress and disruption to staff involved	H	M	M	Assess RISK prior to undertaking LONE task. Consider area, time of day. Follow written management guidelines to use second partner during out of hours time. Ensure that staff are trained in how to handle violence and aggression Use incident reporting system for ANY incident or NEAR MISS	M M M
FINAL ASSESSMENT: Complete RA2					OVERALL RISK:	M

When RA1 complete If overall Risk = H/M then fill in RA2

RA2

Hazard	Level of Risk	H	M	(from form RA1)
Lone Working		<input type="checkbox"/>	<input type="checkbox"/> /	
Risks				
Violence and aggression				
Existing Prevention/Control Measures AS form RA1		Additional Prevention/Control Measures/Remedial Works/Actions		
Health & Safety Code of Practice ref no.		Issue staff with mobile phones, ensure staff know where network low spots are. Ensure batteries are fully charged		
		Establish call safe system to ensure that lone workers call in or are called periodically during work.		
		Provide hands free mobile accessories to enable call safe to be operational whilst staff in car.		
		Yes No		
Amendments Required to Existing Prevention/Control Measures		Prevention Measures Introduced	Y	
		Control Measures Introduced	Y	
		Training Carried Out	Y	
		Monitoring Shows Satisfactory	Y	
		Revised Level of Risk	L	
		Written Safe Working Practices Completed	Y	
		(Health & Safety Code of Practice ref No)		
		Next Review Date		
		Assessor:		
		Date:		

Risk Assessment Form

RA1

Example

Activity: Using a VDU

HAZARD	Effect	Consequence	X Probability	= RISK	MINIMISE RISK BY:	RESIDUAL RISK
Poor posture	General Aches and Pains	M	M	M	Look at work station prior to working. Ensure Chair is suitable and at the right height. Adjust both Chair and VDU, so that you are sitting at 90 degrees, forearms horizontal, eyes same height as top of vdu. Have room under desk for legs to move freely, may require foot support.	L
Glare ONTO Screen	Eye Strain	M	L	L	Ensure light is not directly onto screen causing glare or shadow.	nil
FINAL ASSESSMENT: Complete RA2					OVERALL RISK:	L

Checklists for Risk Assessments

- A** – AVOID risk where possible
 - Age, people, equipment
 - Area, indoors outdoors, familiar, unfamiliar
 - Additional requirements, do you need anything to make this safer?
 - Aggression
 - Assess the whole situation
- B** – Baths,
 - Boxes, too heavy? Secured? Loose in car, or secured in boot?
- C** – Common occurrences
 - Clinical Waste
 - Communication, support and respect
 - Cleanliness
- D** – Demands excessive work load which may induce stress
 - Display screen, is screen clean?
- E** – Electricity, if it's an electrical appliance are the cable and plug sound, and in good Order?
 - Emergency Procedure, what is it, what are you supposed to do?
 - Equipment, has it been checked, calibrated, how fit for purpose is it?
 - Ergonomics, are things generally accessible, tidy.
- F** – Fire
 - Frequency, particularly where manual handling is being assessed
- G** – general equipment, as equipment
 - Generic – risk assessments do NOT have to be individual, generic is acceptable
- H** – Handling, have you had/need training, consider load, frequency, .
 - Look at lifting pulling, pushing lowering.
- I** – Individual risk assessments do NOT have to be individual
 - Implementation, are you aware of all the policies that have been implemented?
 - Incidents, report them!
 - Immunisation, is it recommended for what you are doing? are you up to date?
- J** – Judgement, use your experience to make an Informed judgement about the risk you are assessing
- K** – Knowledge, do you have sufficient knowledge to undertake this risk assessment?
- L** – Latex, are you aware of symptoms, do you know what alternatives are available?
- M** – Manual Handling, avoid where possible, lifting operations which involve a risk of injury. Risk assess the event, assess, load, staff, task, environment, duration, and frequency. Consider procedures that involve lifting, pulling pushing lowering.
 - Is the equipment you need available.
 - Have you been trained/need training to undertake the task?
- N** –New, is this a new procedure

Are you new staff?

O – Opportunity, the RA is an opportunity to step back and look at the situation and assess it objectively.

P – Provision of equipment
Probability of event happening
Prioritise
Policy, is there a suitable policy to follow?

Q – Question, why is this done this way, can we make it SAFER?

R – Reporting system, ensure that all incidents and near misses are reported.
Record Risk Assessments
Review your risk assessments in priority order

S – Safe, have you made the situation as safe as possible
Support, do you need support, have you asked for it?

T – Time, take the time to fill in the Risk Assessment form
training, have you had or do you need?

U – Understanding, do you understand the process?

V – V steps to risk assessment

W – Waste management

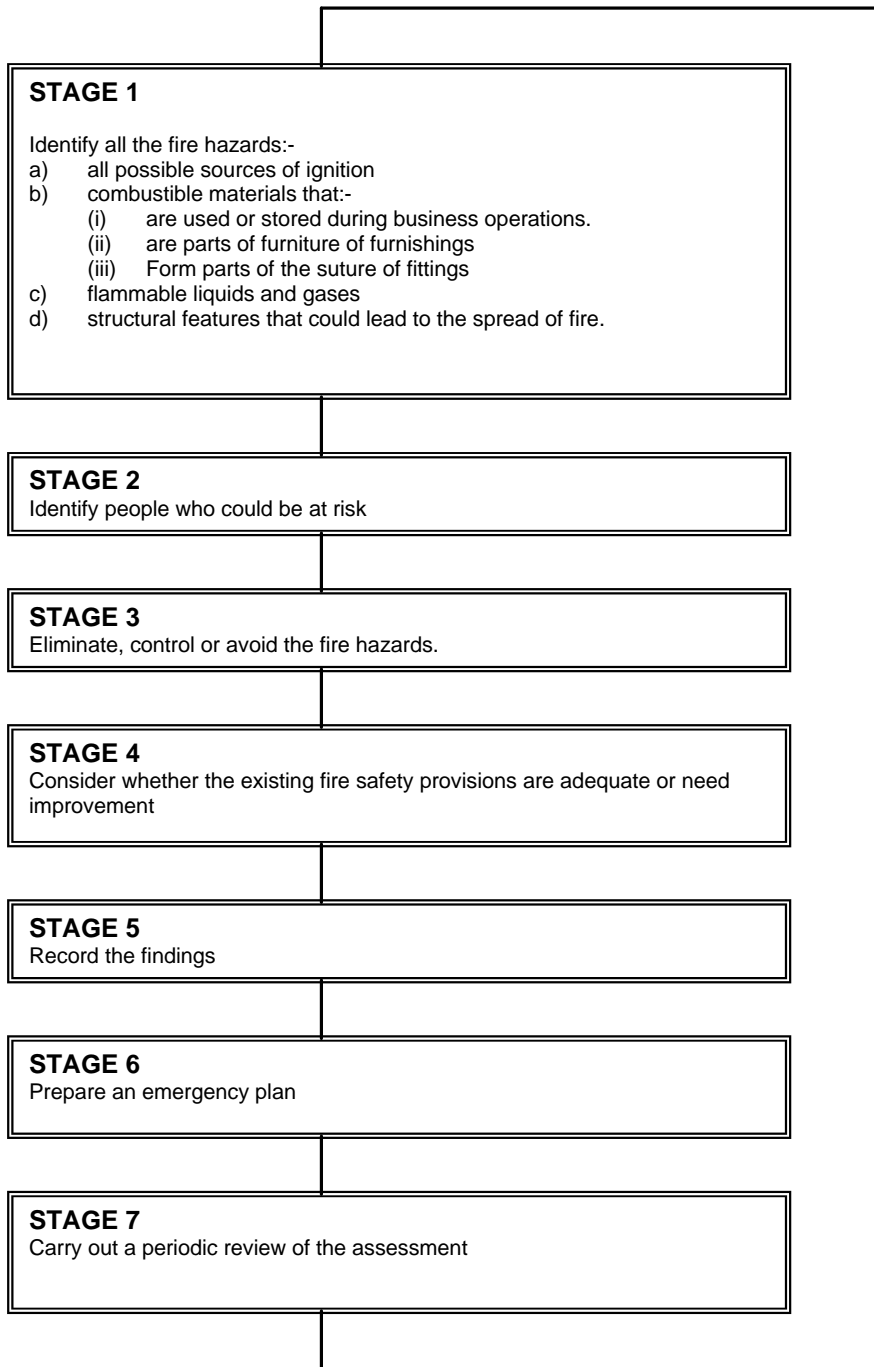
X - X ray

Y – You are the essential element in the recording and reporting of risk assessments and incidents.

Z –

Section 5

FIRE RISK ASSESSMENT



The 7 stages of carrying out a Fire Risk Assessment

Section 6

The following HSE documents may assist you in preparing your risk assessment:

They can be downloaded from the internet site: www.hse.gov.uk and added to this section of the RISK ASSESSEMTN folder.

Or a copy can be obtained by telephoning the HSE on 01787 881165 quoting the ISBN number.

ISBN 0 7176 1507 3 Working Alone in Safety
ISBN 0 7176 2222 3 Working with VDU's
ISBN 0 7176 1754 8 Manuel Handling
ISBN 0 7176 1397 8 Understanding Ergonomics at work
ISBN 0 7176 15650 5 Steps to Risk assessment
INDG 175 C500 3/02 Office Wise