

Committee:	Safety Committee	Agenda Item No.:	11.
Date:	10 <sup>th</sup> July 2008	Category	
Subject:	Risk Assessment Policy and Guidance	Status	Open
Report by:	Health and Safety Officer		
Other Officers involved:	Head of Human Resources and Payroll		
Director	Chief Executive Officer		
Relevant Portfolio Holder	People and Performance		

## RELEVANT CORPORATE AIMS

**Strategic Organisational Development:** - continually improving our organisation. By identifying and managing workplace hazards and risks we reduce the scope for accidents, incidents, and dangerous occurrences and thereby reduce the likelihood of ill health or injuries occurring, and also reduce the likelihood of enforcement action, legal action or compensation claim.

**Customer Focused Services:** - providing excellent customer focused services. By identifying and managing risks to employees, tenants, service users, contractors and members of the public, the likelihood of them suffering an accident, incident, illness, damage to property or an interruption to services is reduced.

Active management of health and safety risk reduces the cost of providing services, by getting it right first time more often, with no accidents, incidents or interruption to services.

## TARGETS

The Policy does not contribute specifically to any targets specified in the Corporate Plan.

## VALUE FOR MONEY

By complying with legislation and best practice and proactively managing risks we will help to control the risk of financial loss, service interruption and help avoid the costs of prosecution, compensation claims and increased insurance premiums.

## THE REPORT

The Policy and Guidance is designed to cover the Council's responsibilities under the Management of Health and Safety at Work Regulations 1999.

Employers have a legal duty to take reasonable care to ensure that health safety is not put at risk through excessive exposure to risk arising from the way any work is undertaken or organised.

Employers have a duty to assess and manage the health and safety risks to which their employees are exposed at work

The policy seeks to ensure that the council:

- Complies with legal requirements and follows best practice, including guidance from the Health and Safety Executive
- Identifies the **hazards** and manages the significant **risks** associated with all Council work activities.
- Enables managers and employees to carry out risk assessments that are accurate, understandable and consistent.
- Manages identified risks with solutions that are **reasonably practicable**
- Sees the provision of appropriate good quality information, instruction, training and supervision as core elements
- Enables managers to address health and safety issues raised by employees and anyone who is affected by our services.

The main requirement is the assessment and management of risks to persons where there is a risk of an accident or dangerous occurrence.

The policy covers responsibilities of employees at all levels throughout the authority.

Those specific Regulations requiring specialised risk assessment are outlined.

The concept of general / generic assessments and specific assessments is explained.

The difference between hazard and risk is described.

Ranking of risk for severity, likelihood, and timescales is detailed.

'Safe systems of work', 'hierarchy of control' and a step by step guide to risk assessment are included.

A form for completing assessments is included as an appendix.

The Policy will replace the two existing conflicting documents – the risk assessment policy in the Health and Safety Manual and the Risk Assessment Guide for Managers. The pre-employment risk assessment will remain in use.

## **IMPLICATIONS**

**Financial** : Reducing the risk of incurring loss from subsequent business interruption, reducing the risk of incurring compensation, legal prosecution and increased insurance costs.

**Legal** : Compliance with the Management of Health and Safety at Work Regulations 1999

**Human Resources** : Reduction in lost time and sickness absence due to accidents and ill health.

## **RECOMMENDATION**

**That the Workplace Health and Safety Risk Assessment Policy and Guidance is considered and recommended to Council for approval.**

ATTACHMENT:                   **YES**

FILE REFERENCE:

SOURCE DOCUMENT:

# **BOLSOVER DISTRICT COUNCIL**

## Health and Safety Workplace Risk Assessment Policy and Guidance

July 2008

**This Policy addresses the following Corporate Aims**



CUSTOMER  
FOCUSED SERVICES



STRATEGIC ORGANISATIONAL  
DEVELOPMENT



## **The District of Bolsover Equalities Statement**

The District of Bolsover is committed to equalities as an employer and in all the services provided to all sections of the community.

- The Council believes that no person should be treated unfairly and is committed to eliminate all forms of discrimination in compliance with the Equality Strategy.
- The Council also has due regard to eliminate racial discrimination and to proactively promote equality of opportunity and good relations between persons of different racial groups when performing its functions.

This document is available in large print and other formats from any of the Council Offices or by contacting the Chief Executives Directorate on 01246 242323. Please bear in mind we will need a few days to arrange this facility.

If you need help to read this document please do not hesitate to contact us.

Our Equality and Diversity Officer can be contacted via [Email](#) or by telephoning 01246 242407.

Minicom: 01246 242450

Fax: 01246 242423

## CONTROL SHEET

Details of Document	Comments / Confirmation
Title	Health and Safety Workplace Risk Assessment Policy and Guidance
Document type – i.e. draft or final version	Final
Location of Policy	Human Resources
Author of Policy	Tim Walker, Health and Safety Officer
Member route for Approval & Cabinet Member concerned	Safety Committee Personnel & Performance Portfolio Holder
Reviewed by Director of Strategy	Awaiting feedback
Date Risk Assessment completed	
Date Equality Impact Assessment approved	With CSPD
Partnership Involvement (if applicable)	No Specific Involvement
Policy Approved by	Council
Date Approved	
Policy Review Date	July 2010
Date forwarded to CSPD (to include on Intranet and Internet if applicable to the public)	

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## Risk Assessment Policy

### 1 INTRODUCTION

The Management of Health and Safety at Work Regulations 1999 places a duty upon all employers to carry out ***suitable and sufficient*** (see S.7 Definitions) assessments of the ***significant risks*** to their employees and any others who may be at risk from work activities.

A successful health and safety management system has risk assessment, leading to safe systems of work as a core element. Management of risks in the workplace reduces the likelihood and severity of incidents and subsequent injuries, illness, property / equipment damage and loss of service delivery.

Bolsover District Council seeks to provide a safe working environment that is free from all reasonably foreseeable and significant risks to our employees, service users, clients, contractors, elected members, members of the public and anyone else affected by our activities. This policy and guidance supports the Corporate Health & Safety Policy with information enabling the effective management of workplace risks.

### 2 SCOPE

This policy applies to all Service Areas within Bolsover District Council.

This policy applies to all employees. Contractors will be required to operate their own equivalent risk assessment systems.

The compliance standards that form part of this policy will be used to monitor operational practices and management of the risk assessment process.

### 3 LEGISLATION & PRINCIPLES OF THE POLICY

#### 3.1 Corporate Aims

The Policy meets the following corporate aims:

**Strategic Organisational Development:** - continually improving our organisation. By identifying and managing workplace hazards and risks we reduce the scope for accidents, incidents, and dangerous occurrences and thereby reduce the likelihood of ill health or injuries occurring, and also reduce the likelihood of enforcement action, legal action or compensation claim.

**Customer Focused Services:** - providing excellent customer focused services. By identifying and managing risks to employees, tenants, service users, contractors and members of the public, the likelihood of



them suffering an accident, incident, illness, damage to property or an interruption to services is reduced.

Active management of health and safety risk reduces the cost of providing services, by getting it right first time more often, with no accidents, incidents or interruption to services.

### 3.2 Legislation

**The Health and Safety at Work Act 1974:** employers have a duty to ensure, so far as is reasonably practicable, the health, safety and welfare at work of all their employees;

**The Management of Health and Safety at Work Regulations 1999:** employers have a duty to assess and manage the health and safety risks to which their employees are exposed at work.

Employers have a legal duty to take reasonable care to ensure that health is not put at risk through excessive exposure to risk arising from the way work is undertaken or organised.

## 4 POLICY STATEMENT

Bolsover District Council is committed to ensuring the health, safety and welfare of all of its employees. We will therefore promote a positive workplace culture that:

- Complies with legal requirements and follows best practice, including guidance from the Health and Safety Executive
- Identifies the **hazards** and manages the significant **risks** associated with all Council work activities.
- Enables managers and employees to carry out risk assessments that are accurate, understandable and consistent.
- Manages identified risks with solutions that are **reasonably practicable**
- Sees the provision of appropriate good quality information, instruction, training and supervision as core elements
- Enables managers to address health and safety issues raised by employees and anyone who is affected by our services.

The successful implementation of this policy can only be achieved by co-operative effort at all levels within the organisation.

## 5 REVIEW

The Health and Safety Risk Assessment Policy will be reviewed by the Health and Safety Officer at least every two years

## 6 PERFORMANCE AND AUDIT

All Service Areas within Bolsover District Council must be able to demonstrate compliance with this policy. This will be audited by the Health and Safety Officer and reported on to the Safety Committee

Service Areas will be expected to have reviewed existing arrangements for undertaking assessments and carried out steps for implementation.

- Risk assessments for work activities are carried out.
- Managers carry out their responsibilities as outlined in sections 8.2, 8.3, 8.4.
- Employees are meeting the responsibilities outlined in section 8.5

## 7 DEFINITIONS

**Hazard:** This is the potential of something to cause harm

**Risk:** this is a combination of the likelihood of something occurring with the expected severity if it does

**Reasonably Practicable:** this is a way of saying that when considering controls for risks we can take into account both the level of risk and the resources required to resolve it; in other words we can balance costs against benefits

**Generic Assessment:** an assessment designed to cover a number of similar situations, for example an assessment for the setting up of mobile scaffold towers. It is important when using these that they are checked for relevance before use and that it would not be more appropriate to use a specific assessment.

**Specific Risk Assessment:** An assessment designed to look at one particular task, hazard or event, for example we may need a *specific* assessment for setting up a mobile scaffold tower where there are particular unique risks involved not covered by the generic assessment suggested above or where the assessment needs to be more closely tailored to a specific situation, such as the assessment of a workstation for a particular individual.

**Significant Risk:** where it is foreseeable that an injury requiring first aid or medical treatment or resulting in an absence from work, or long term damage, e.g. to hearing or a medical condition, could occur.

## **8 ROLES AND RESPONSIBILITIES**

### **8.1 The Chief Executive Officer**

Is responsible for ensuring that there are effective measures in operation to assess and manage work related risks, and to protect employees and other from those risks in accordance with the Health and Safety Risk Assessment Policy and procedures

### **8.2 Directors**

Directors are accountable to the Chief Executive Officer for the operations and activities carried out within their areas of responsibility: They will ensure:

- Compliance with the Health and Safety Risk Assessment Policy
- Employees in their area are aware of, accept and carry out their responsibilities under the Health and Safety Risk Assessment Policy.
- Adequate resources are made available to undertake health and safety risk assessments and to manage the health and safety risks identified.

### **8.3 Heads of Service**

Are responsible to their Director for ensuring that the Health and Safety Risk Assessment Policy is implemented within their service area in a decisive and proactive way: Additionally they will:

- Provide employees with adequate supervision, instruction, training and supervision.
- Ensure health and safety hazards and all persons at risk from those hazards are identified.
- Ensure that all significant health and safety risks are assessed and that the findings of these risk assessments are implemented.
- Attend appropriate training.
- Ensure that where employees express concern about health and safety issues appropriate action is carried out.
- Provide employees with the results of assessments which are relevant to them.
- Maintain a record and register of health and safety risk assessments.
- Review assessments and procedures in the light of incidents, new information but otherwise at least every two years.
- Ensure that where relevant, service partners and contractors are able to demonstrate their safe working practices by means of their own risk assessment process.

#### **8.4 Managers and Team Leaders**

Are responsible to their Head of Service for ensuring that measures that are in place carry out health and safety risk assessments and control work related risks are operating effectively.

Additionally they will:

- Conduct appropriate risk assessments, implement actions arising out of those risk assessments.
- Ensure safe systems of work are in place and operating
- Ensure employees are aware of and use the findings of relevant risk assessments.
- Monitor and check the effectiveness of risk assessments in place and safe systems of work in place.

#### **8.5 All Employees**

All employees have an individual responsibility to minimise the risk of harm to themselves and others who may be affected by their work and to co-operate with the Council in its efforts to manage health and safety risks: employees will:

- Co-operate and assist with the undertaking of risk assessments.
- Co-operate with their managers to reduce hazards that may affect their physical and/or mental well-being, including following guidance given.
- Comply with the procedures and safe systems of work put in place to control health and safety risks
- Undergo training as requested.
- Be aware of and recognise their own training and development needs, keep managers informed of these needs.
- Report any problems or shortfalls with risk assessments or safe systems of work to their line manager.

#### **8.6 The Head of Human Resources and Payroll**

- Will ensure there are adequate policies and procedures in place to assess and manage health and safety risk.
- Ensure that the policy and guidance is reviewed at least every two years.
- Report as required to the Chief Executive Officer and Senior Management Team.
- Consult with trade unions on the effectiveness of the policy, its implementation, review and revision.

#### **8.7 The Health and Safety Officer**

The Health and Safety Officer in Human Resources will assist managers and employees in carrying out their roles under this policy by:

- Advise on the carrying out and implementation of risk assessments.
- Monitoring the implementation of the Policy within Service Areas
- Providing additional information, guidance and professional support, as required.
- Assisting in carrying out and reviewing risk assessments.
- Advising on the provision of training.
- Making employees aware of the Council's procedures at induction training.
- Reviewing the corporate Health and Safety Risk Assessment Policy and procedures at least every two years.

## **RISK ASSESSMENT GUIDANCE**

### **9 INTRODUCTION**

The assessment of risk is central to the management of health and safety. It is also required by Management of Health & Safety at Work Regulations 1999 (MHSWR).

Certain Regulations also require more specific risk assessments,

- Display Screen Equipment (DSE)
- Manual Handling
- Control of Noise
- Vibration
- Hazardous Substances (COSHH)
- Personal Protective equipment
- Fire Safety
- Working at Heights
- Working with Asbestos

Risk assessment requires an assessment of the work related risks to employees, clients, service users, visitors and members of the public arising from the Councils' work activities. This is to assist in identifying those measures which are needed to remove or otherwise control the health and safety risks and to reduce any consequences which might occur.

Consider whether there are any specific groups of individuals who could be at particular risk under some circumstances, e.g. disabilities affecting their ability to evacuate the building in an emergency, adverse <http://www.nottingham.ac.uk/safety/publications/circulars/risk-assessment.html> - to effects on pregnancy or other medical conditions.

Risk assessment can be considered as falling into one of two groups, **general** / **generic** or **specific**.

**General or Generic assessments** would apply where there are common hazards or activities to the Service Area, such as emergency situations, lone working or out-of-hours working, first aid requirements etc.

**Specific assessments** are related to a particular task such as use of a piece of equipment. Assessments are best carried out at Service Area level; the specific assessments should be performed by the individuals responsible for the work areas where these work activities occur since they will have the greatest knowledge of the activities being carried out.

It is important that the assessment only considers **significant risk** arising out of the work activity and does not get distracted by **trivial problems** which may be identified.

**A significant risk is one where it is foreseeable that an injury requiring first aid or medical treatment or resulting in an absence from work, or long term damage, e.g. to hearing could occur.**

## 10 HAZARD AND RISK

It is important to understand the meaning of these two terms to effectively carry out a risk assessment.

**Hazard** is defined as the potential to cause harm;

**Risk** is defined as combination of the likelihood of an event occurring and the severity of the effect.

The level of risk depends upon a combination of these two factors, for example a flammable liquid presents a fire **hazard**. The **risk** of this occurring is **low** whilst being correctly stored, but will be **high** if used in an area where there is a source of ignition.

In the vast majority of situations the consequences would be restricted to a single individual. A small number of situations could give rise to the event affecting a small number of people within the immediate vicinity of the incident, e.g. other occupants of a work room. At its most extreme an incident could endanger individuals beyond the locality, for example everyone else within the building. Higher consequence events will only be associated with higher hazard activities, typically activities which could result in a fire, explosion, toxic gas release or serious mechanical failure, e.g. of heavy lifting equipment.

Where this is the case we would raise the risk rating to take account of this.

## 11 RANKING OF RISK

<http://www.nottingham.ac.uk/safety/publications/circulars/risk-assessment.html> - top

To assist in prioritising areas requiring health and safety improvements then the level of risk may be ranked. This can be done by scoring each factor – Severity and Likelihood from 1 to 3, 1 being the lowest, and 3 being the highest. These scores are then multiplied together, to give a score between 1 and 9, with 9 being the highest.

### **Risk level = Severity x likelihood**

The **Severity** may be scored as follows:

3 - Major (death or severe injury may result)

2 - Serious (injuries requiring medical treatment or more than three days off work)

1 - Slight (injuries requiring no more than first aid treatment, or brief absences from work)

Do not always consider ‘the worst case scenario’ as the consequent result; try to think of ‘reasonable’ and ‘foreseeable’ results rather than ‘freak’ results.

**Likelihood** can be similarly ranked:

3 - High (event will occur frequently)

2 - Medium (event will occur occasionally)

1 - Low (event will seldom occur)

Use the Risk reference matrix to help you if you are unsure as to the level at which you should categorise the risk

In determining the likelihood of an event occurring, account needs to be taken of both the chance of it happening each time the task is carried out and the frequency/regularity of that task. Hence an infrequently carried out task which entails a near certainty of injury would be high risk. Similarly a task which is carried out very frequently but for which the likelihood of mishap for each occasion is low, would also be high risk since it is inevitable that the mishap will occur within a realistic time period.





It must be realised that this is a subjective process, giving numbers to the factors does not imply any mathematical precision – the aim is to identify and prioritise risks, and then to take action to reduce or eliminate them.


<b>11.1 LIKLIHOOD INDICATORS</b>	<b>Risk Rating Level 3 – High RED</b>	<b>Risk Rating Level 2 – Medium AMBER</b>	<b>Risk Rating Level 1 – Low GREEN</b>
Frequency of exposure to the risk	Constantly during work, Daily	Occasionally, weekly or monthly	Rarely Few times per year or less often
Experience of hazard potential	Always happens / Very likely to have been experienced by those facing the risk	Has happened Possibility that those exposed have experienced the hazard	Never happened previously Unlikely that those facing the risk have had first hand experience
Number of persons exposed to risk	100 or more	11-99	1-10
Number of persons affected by a single incident	Over 10	2-9	1
Reliability of control measures	Low Reliability	Moderate reliability	High reliability

<b>11.2 SEVERITY INDICATORS</b>	<b>Risk Rating Level 3 – High RED</b>	<b>Risk Rating Level 2 – Medium AMBER</b>	<b>Risk Rating Level 1 – Low GREEN</b>
Physical injury	Fatality or long term / permanent injury or disability	First aid injury, short term illness or injury	Minor injuries not resulting in lost time or requiring treatment
Adverse health impact	Life threatening or shortening disease or condition	Moderate short term impact, not likely to lead to permanent condition	No significant adverse health impact
Impact on BDC operations	Significant – possible long term disruption	Moderate limited disruption to operations – days or weeks	Low – no significant disruption to operations
Impact on client / public / enforcing agency concerns	Significant reaction expected	Moderate –reaction not thought likely	Low – adverse reaction unlikely
Estimated business impact	Significant – in excess of £25000	Moderate – between £5000 and £25000	Low – less than £5000



### 11.3 Action and Timescales

<a href="http://www.nottingham.ac.uk/safety/publications/circulars/risk-assessment.html">http://www.nottingham.ac.uk/safety/publications/circulars/risk-assessment.html</a> - topRisk level	<b>Action and Timescale</b>	<b>Appropriate Controls</b>	<b>Colour Code</b>
<b>Trivial ( 1 )</b>	No action is required to deal with trivial risks, and no documentary records need be kept (insignificant risk)	Maintain & review current measures Communicate by signs or general instructions	<b>GREEN</b> 
<b>Acceptable ( 2 )</b>	No further preventative action is necessary, but consideration should be given to cost-effective solutions, or improvements that impose minimal or no additional cost burden. Monitoring is required to ensure that the controls are maintained.	Largely informal controls Appropriate monitoring and supervision	<b>GREEN/AMBER</b> 
<b>Moderate ( 3, 4 )</b>	Efforts should be made to reduce the risk, but the costs of prevention should be carefully measured and limited. Risk reduction measures should normally be implemented within three to six months, depending on the number of people exposed to the hazard.	Controls must be reliable from here Mostly formal Regular review Structured & formal communication	<b>AMBER</b> 
<b>Substantial ( 5, 6 )</b>	Work should not be started until the risk has been reduced. Considerable resources may have to be allocated to reduce the risk. Where the risk involves work in progress, the problem should be remedied as quickly as possible and certainly within one to three months.	Formal and highly reliable controls Capable of enhancement Fully documented Frequent review	<b>RED/AMBER</b> 
<b>Intolerable ( 9 )</b>	Work should not be started or continued until the risk level has been reduced.	All aspects formal.	<b>RED</b>

	<p>While the control measures should be cost-effective, the legal duty to reduce the risk is absolute.</p> <p>This means that if it is not possible to reduce the risk, even with unlimited resources, then the work must not be started or must remain prohibited.</p>	<p>Controls to highest possible level of reliability</p> <p>Regularly tested</p> <p>emergency arrangements</p> <p>Regular review and monitoring</p>	
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## 12 APPLICATION OF RISK ASSESSMENT

A form is available in **Appendix 1**.

Although the risk assessment process may be delegated, the manager responsible for managing the work area or activities remains responsible for the findings and for ensuring that any remedial actions are implemented.

## 13 STRATEGY FOR RISK ASSESSMENT

It is important not to lose sight of the purpose of health and safety risk management such that the assessment seems to become an end in itself. The objective is to have in place the necessary physical or procedural controls and for the people doing the work to know what these are.

The following points summarise the steps to be taken:

- Identify the different areas of the Service Area to which risk assessments will be devolved – if the Service Area is small this may not be necessary
- Identify who will carry out the risk assessments in these areas.
- Identify the range of work activities carried out in each area.
- Identify those work activities which are carried out across the Service Area for a general assessment.
- Define the scope of each assessment
- Identify the significant hazards present
- Decide who might be harmed and how
- Identify existing control measures and estimate their reliability
- Taking into account existing controls estimate THE RISK FOR EACH HAZARD
- Decide if the risks are acceptable
- If not determine management action, using the action plan in Appendix 1
- Sign / authorise the assessment
- Communicate the findings to those exposed to the risk or those carrying out the work
- Review the action plan regularly entering completion dates as the measures are achieved.

- Review the risk assessment every two years or when there is significant change to ensure that it is still valid.

## **14 SAFE SYSTEMS OF WORK**

The risk assessment process fits into the concept of the safe system of work. As with risk assessment the formality and complexity of the safe system of work must be proportional to the risk presented by that work.

A Safe System of Work is a combination of control measures which work together to achieve and maintain safe conditions,

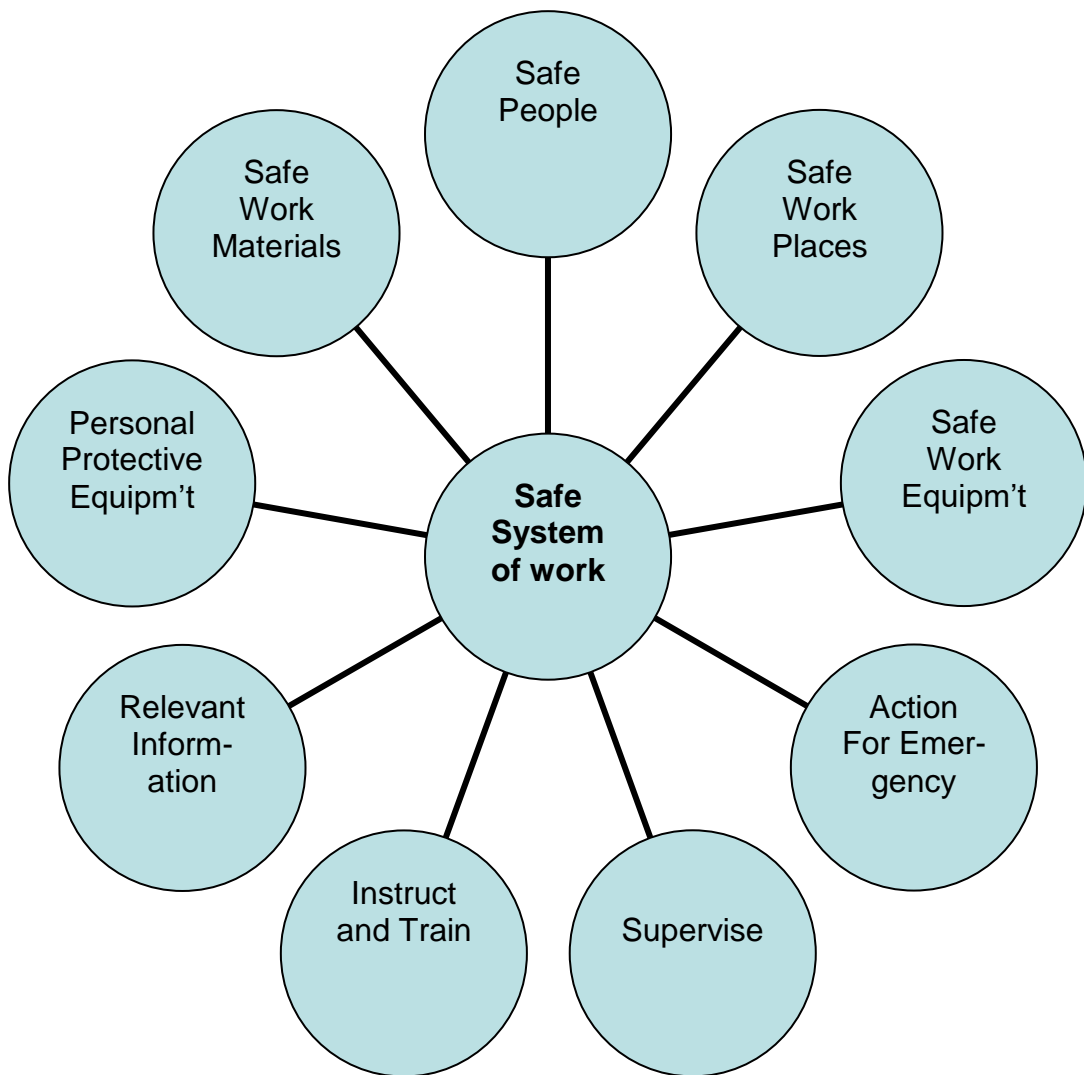
The Safe System of Work consists of a number of combined control measures which can be represented as elements (processes, equipment etc.)

No single element will deliver the desired safe condition

In circumstances where one or some of the elements are not available (for example where the work place is an unsafe environment) the other elements have to be further developed to compensate.

Any element within the safe system of work must be fit for purpose.

## Safe System of Work Diagram



**Safe People** – Individuals with the necessary competence, (knowledge, skills and experience), also those likely to have responsible attitudes and exhibit reasonable behaviour. Adaptations to the workplace, equipment or procedures may be necessary in order that people who have a disability are able to work safely

**Safe Workplace** – Where it is within the control of the Council the workplace must be fit for purpose - to have been designed / adapted for the intended purpose and maintained in a suitable condition. Where the workplace is unsafe (e.g. a naturally hazardous environment) then other elements of the SSW must combine to ensure that the person remains safe (e.g. provide wet weather / cold weather clothing.)

**Safe Work Equipment** – This must be suitable and fit for purpose, be used for its intended purpose and must be maintained in good condition and full working order.

**Action for Emergency** – Formal emergency procedures are required in most circumstances, and should consist of a means to raise the alarm, a means of evacuating the area and/or summoning assistance and/or neutralising the hazard.

**Supervise** – the quality and nature of the supervision afforded is directly influenced by the competence of the persons at work and the risks they face. Lone or remote working is acceptable, provided that the other elements of the SSW are developed to compensate.

**Instructions and Training** – unambiguous instruction outlining the action to stay safe in all reasonably foreseeable situations. Formal training in all aspects of the SSW where necessary.

**Relevant and Comprehensible Information** – sometimes using standardised signage, or information sheets, standard operating procedures, method statements etc. This should include the findings of relevant risk assessments. Here necessary information must be provided in alternative formats and/or languages to ensure comprehension.

**Personal Protective Equipment (and clothing)** – this should be seen as a low reliability control measure – but there are still likely to be circumstances where PPE is a valid control measure. All stages of the selection, management and use of PPE require the highest levels of consideration.

**Safe Work Materials** – as low a risk level as is necessary to achieve the outcome required – there are often many alternative cleaning materials available for example. Also consider environmental toxicity.

## 15 THE HIERARCHY OF CONTROL

The hierarchy of control is a simple concept which can be applied when making decisions about control measures within a safe system of work.

The hierarchy is based on the principal that elimination of the risk by completely removing it from the workplace is the most effective control measure, thereafter all other control options can be ranked according to effectiveness.

### 1 ELIMINATION

Complete removal of the hazard from the workplace  
Can be achieved by removing people from the location of the risk or by discontinuing the process

### 2 SUBSTITUTION

Use where elimination is not a practical option  
A hazard may be substituted for a safer alternative, which results in reduced risk. Example: use of low voltage/battery tools rather than mains powered.  
Patterns of exposure can be changed to reduce the risk (Example: reducing the amount of time a person spends in a noisy environment)

### 3 ENGINEERING CONTROLS

Solid barriers, isolation technology, enclosures or other structures and assemblies which prevent exposure to risk  
Engineering controls need maintenance to ensure they remain fit for purpose. They should fail to a safe condition (i.e. power off). In general the more complex the engineering control the more opportunities there are for failure, including human error.

### 4 PERSONAL PROTECTIVE EQUIPMENT

Clothing or items of equipment which are worn or held to afford protection. PPE is known to be a low reliability option (often referred to as a 'last resort option', primarily because its effectiveness depends upon being worn at all times when the hazard is present). It obviously offers no protection to those nearby not using it.

### 5 INFORMATION INSTRUCTION SUPERVISION AND TRAINING

It should be apparent that the provision of information instruction and supervision (IITS) is a requirement in all of the above control options. However there are also circumstances where none of the other options are available, and the only way to prevent exposure is by providing information (perhaps a warning siren) give clear instruction (safety signs) on how to avoid the risk, train personnel in correct procedures and supervise all of the above, including in emergency situations.  
Information must always be in a form comprehensible to the user.

## 16 TEN STEP GUIDE TO RISK ASSESSMENT

### Step 1: Define the Scope of the Risk Assessment

The assessor should record details of the process being assessed and where the process will take place.

Indicate if the assessment is generic (multiple locations or processes where practical similarities allow general decisions to be effective) or specific (applicable to a single location or circumstance) and whether it is a new or existing process being assessed.

Each risk assessment should have a reference number which is generated by the Service Area

Every risk assessment should be reviewed. Initially after the first time the process is carried out and then at least annually until confidence is high that the assessment is valid. The maximum period between reviews should be 2 years.

### Step 2: Identify the Hazards

A hazard is anything with the potential to cause harm.

For each process it is important that all *significant* hazards are identified.

You need to think carefully about the hazards to ensure that they are described properly to ensure that they are easily understood and communicated.

### Step 3: Identify who might be Harmed

For each hazard think about and record who might be harmed. This may be an individual but it could also be a generic group (e.g. roofers, squash court etc.).

Will those who may be harmed be the same ones for all of the hazards or not?

Consider people who are not directly involved in the process but may be harmed (e.g. maintenance staff, cleaners, visitors, etc.).

You may also need to consider people or groups of people who may be particularly vulnerable (e.g. disabled persons, children, new starters, etc.).

### Step 4: Identify Existing Controls and their Reliability

For each hazard think about and record the existing controls (safety measures).

For each control consider its reliability. This will help to determine the risks.

### Step 5: Level of Risk

Taking into account the existing controls, estimate the risk for each hazard (e.g. low, medium, high).

This estimation of risk should consider factors that affect the likelihood of an incident occurring and the severity of the outcome. Use the risk estimator for guidance if you are unsure.

### Step 6: Decide if the Risks are Tolerable

To determine if the overall risk is tolerable, summarise the individual risk estimates and use your experience to estimate the overall risk and decide whether or not it is tolerable.

This process is **subjective** and no 'accurate' mathematical formula exists.

If the risk is **not** tolerable, additional safety measures **must** be considered and recorded.

Now the question of risk tolerability should be asked again. If it is still considered that the risk is **not** tolerable, **STOP – prevent any significant exposure to the risk and arrange reassessment.**

### Step 7: Define Management Actions

To ensure effective implementation of the risk assessment controls it may be necessary to carry out some management action.

This should be recorded, along with the name(s) of the person(s) responsible for carrying it out and the associated timescales.

### Step 8: Authorisation

All risk assessments should be signed (or initialled if electronic) and dated by the person carrying out (or leading) the assessment.

The assessment should be checked and authorised by the manager responsible.

This authorisation indicates that the findings of the assessment are valid and that the control measures will be implemented.

### Step 9: Communicate significant findings to those exposed to the risk

Ensure that the findings of the assessment get to those exposed to the risks.



### **Step 10: Monitor and review**

Check that assessments are available to and used by those who need them

Check that the safe systems of work outlined in the assessment are in use

Check that the measures in use are actually effective

Review the assessment after the first time it is used and then every two years.

## **17 REFERENCES**

Practical guidance and example of risk assessments can be found on the Health and Safety Executive website;

<http://www.hse.gov.uk/risk/casestudies/index.htm?ebul=hsegen/17-mar-2008&cr=5>

Leeds City Council on line risk assessment training package

<http://www.leeds.gov.uk/risk/>

## Bolsover District Council Risk Assessment Sheet



<b>Assessment Log Number</b>		<b>Who Might be Harmed</b>			
<b>Activity</b>					
	<b>Hazards</b>	<b>Current Controls</b>	<b>Likelihood</b>	<b>Severity</b>	<b>Risk</b>
<b>1</b>					
<b>2</b>					
<b>3</b>					
<b>4</b>					
<b>5</b>					
<b>Assessor Signature</b>		<b>Print Name</b>		<b>Date</b>	
<b>Manager Signature</b>		<b>Print Name</b>		<b>Date</b>	

## Bolsover District Council Risk Assessment Sheet



Assessment Log Number		Activity					
Additional Controls Required		Responsible Person	Target Date	Date Complete	Risk After Control Introduced		
					Likelihood	Severity	Risk
1							
2							
3							
4							
5							
<b>Assessor Signature</b>		<b>Print Name</b>		<b>Date</b>			
<b>Manager Signature</b>		<b>Print Name</b>		<b>Date</b>			