

CAERPHILLY COUNTY BOROUGH COUNCIL

DRAFT RISK ASSESSMENT POLICY

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Contents

SECTION		PAGE NUMBER
SECTION 1	INTRODUCTION	3
SECTION 2	POLICY STATEMENT	3
SECTION 3	SCOPE	3
SECTION 4	DEFINITIONS	3
SECTION 5	LEGISLATION	3
SECTION 6	RESPONSIBILITIES	4
SECTION 7	ARRANGEMENTS	5
APPENDIX 1	HAZARD INFORMATION	10
APPENDIX 2	WHO IS AT RISK?	12
APPENDIX 3	RISK ASSESSMENT FORM	16
APPENDIX 4	ASSIGNING A RISK RATING	19

NOTE

Wherever the designation Manager is used throughout this policy, it is taken to mean Head of Service, Head Teacher, Line Manager, Supervisor, and Officer in Charge or anyone who has a responsibility for employees through their work.

1. INTRODUCTION

- 1.1 This policy sets out the arrangements and responsibilities for carrying out risk assessments of work activities and workplaces.

2. POLICY STATEMENT

- 2.1 The Authority recognises that its employees are its most valuable resource in delivering high quality services to the community and will take all practical steps to ensure the health and safety of Authority employees, contractors and visitors to and users of Authority premises.

3. SCOPE

- 3.1 This policy has been agreed with the Trade Unions and applies to all employees except; initially school based staff, though the Council would recommend that School Governing Bodies adopt the policy.
- 3.2 This policy will be reviewed at least annually to ensure it is in line with current legislation.
- 3.3 The effective date of the policy is:

4. DEFINITIONS

- 4.1 Risk Assessment is a careful examination of the workplace and/or work activities, considering what could cause harm. This allows consideration of what controls are in place and whether anything else should be done to reduce/control the risk.
- 4.2 Hazard means anything that can cause harm e.g. chemicals, electricity, working from ladders etc.
- 4.3 Risk is the chance (high or low) that somebody will be harmed by the hazard.

5. LEGISLATION

- 5.1 This policy along with its supporting procedures and guidance is designed to ensure the Authority meets its legal obligations as stated in:
- The Health and Safety at Work etc. Act, 1974
 - The Management of Health and Safety at Work Regulations 1999

6. RESPONSIBILITIES

NB Please note that all employees have a legal responsibility to comply with health and safety law and the provisions of this policy. Failure to do so could result in personal and / or corporate liability.

6.1 The Chief Executive Officer will:

6.1.1 Be ultimately responsible for ensuring compliance with this policy within Caerphilly County Borough Council.

6.2 Directors will:

6.2.1 Be responsible for ensuring the effective implementation of this corporate policy and associated directorate arrangements within their service areas.

6.2.2. Ensure that appropriate resources are made available for the effective operation of the policy including training.

6.3 Managers with responsibilities for employees will:

6.3.1 Ensure that a competent person carries out risk assessments for all workplaces/work activities under their control. A competent person is somebody with the relevant training, qualifications and experience to carry out the risk assessment

6.3.2 Ensure that specific risk assessments are carried out where required by law e.g. display screen assessments, manual handling assessments, COSHH (control of substances hazardous to health) assessments.

6.3.3 Ensure that the findings of the risk assessments are communicated to all employees, contractors etc who may be affected by the assessment.

6.3.4 Ensure that the findings of any risk assessments are recorded and copies of the risk assessment is kept until a new assessment is produced or the assessment is revised.

6.3.5 Ensure actions and recommendations arising from the risk assessment are implemented and adequate resources are allocated to control risks identified.

6.3.6 Ensure the risk assessments are monitored and reviewed periodically, this would be at least every two years and more frequently if there are any changes which may affect the validity of the assessment e.g. changes in work activity, work processes, technology. This would also include an accident/incident/near-miss/dangerous occurrence, which would prompt a review.

6.3.7 Ensure this policy is communicated to their employees.

6.3.8 Ensure their employees comply with this policy and any associated Directorate arrangements for risk assessment derived from this policy.

6.4 Each employee of the Authority will:

- 6.4.1 Assist the competent person (or risk assessment team) in carrying out a risk assessment where required.
- 6.4.2 Comply with any working procedure or precautionary measure introduced to reduce or control identified risks.
- 6.4.3 Ensure their Manager is notified immediately if they become aware of anything which may constitute risk e.g. faulty work equipment, work processes/arrangements.

6.5 The Corporate Health and Safety Unit will:

- 6.5.1 Ensure that the risk assessment policy is reviewed at least annually to ensure it is in line with current legislation.
- 6.5.2 Provide advice and information on legislation or guidance relating to risk assessment.
- 6.5.3 Audit compliance with the policy.

6.6 Directorate Health and Safety Officers will:

- 6.6.1 Ensure that any necessary Directorate arrangements are developed in accordance with the Corporate Policy on risk assessment.
- 6.6.2 Ensure the communication of the Corporate Policy and Directorate arrangements to all managers.
- 6.6.3 Provide advice, information and support on risk assessment to Managers as required.
- 6.6.4 Carry out spot checks on risk assessments to ensure they are completed, up to date and are being followed.
- 6.6.5 Monitor the effective implementation of the Corporate Policy and Directorate Arrangements.

6.7 The Occupational Health Unit will:

- 6.7.1 Provide advice on any health issues arising from the risk assessment process.

7. ARRANGEMENTS**7.1 Risk Assessments:**

- 7.1.1 The Management of Health and Safety at Work Regulations 1999 place a duty on employers (The Authority) to make a suitable and sufficient assessment of the Health and Safety risks to which their employees (and others not in their employment) may be subjected.
- 7.1.2 Risk Assessment's must be carried out by a competent person. This is somebody with the necessary training, qualifications and experience. This will

usually be somebody familiar with the work activity who has attended a risk assessment training course.

7.1.3 It is the line-managers responsibility to ensure the assessment is completed by a competent person and the recommendations completed and actioned.

7.1.4 Risk assessment should be a team approach and should be carried out in association with the employees who carry out the work activity. This ensures the assessment considers what actually happens rather than what procedures state should happen.

7.2 Identification of hazards:

7.2.1 The assessment must identify anything with the potential to cause harm in the workplace or work activity.

7.2.2 Manufacturers instructions or data sheets, accident records and ill-health trends can help to identify hazards.

7.2.3 Other things to be considered when carrying out a risk assessment include:

- The fitting out and layout of the workplace and the particular site where they will be working.
- The nature of any physical, biological and chemical agents they will be exposed to, for how long and to what extent, e.g. cement, glues, mastics and sealants, asbestos, cleaning chemicals.
- What type of work equipment will be used and how this will be handled.
- How the work and processes involved are organised.
- The need to assess and provide health and safety training.
- The requirement for any Personal Protective Equipment.

7.2.4 As well as routine activities the risk assessment should consider any foreseeable activities that would take place during emergencies e.g. arrangements for somebody to be called out of hours to respond to an emergency.

7.2.5 *Appendix 1* gives more information on hazard identification.

7.3 Decide who might be harmed and how:

7.3.1 This should include all employees and pay particular attention to those at high risk e.g. young workers, new and expectant mothers, people with special needs, pupils, service users and trainees.

7.3.2 The assessment should consider cleaners, visitors and contractors who may not be in the workplace at all of the time. The assessment should also take into account members of the public, service users and others who may share your workplace.

7.3.3 When considering who might be harmed, the assessment should also take into account the number of people who could be involved. This is as more controls may be needed depending on the number of people at risk.

7.3.4 Please see *Appendix 2* for further information on identifying who may be harmed and how.

7.4 **Evaluate the risk and decide whether existing precautions are adequate or more should be done.**

7.4.1 Look at what control measures are already in place to address the risk and whether this is adequate or whether more needs to be done e.g. a employee working alone might be high risk, however if there is a booking in/out procedure, arrangements for checking as to whether the person to be visited has any history of violence/aggression (e.g. use of Incheck), visits are only carried out in office hours, there is a procedure for working in pairs if there is any uncertainty, a mobile phone is provide and the employee has received training then the real risk might in fact be low and no further action might be needed. Please note that all of the above controls might not be necessary and this would depend on an assessment of the risk.

7.4.2 Consideration must be given to any legal requirements as well as relevant industry standards. The overall aim is to make the risk as small as possible whilst still allowing the activities to take place.

7.4.3 Assign a risk rating to any hazards identified taking into account any controls already in place to minimise the risk. See [appendix 4](#) for further details on assigning a risk rating. The risk rating allows any identified hazards to be prioritised.

7.4.4 The principles of risk control must be applied to managing any risk identified. This means that the measures at the top of the list are preferable and should be used to control the risk if possible:

- Elimination
- Substitution
- Enclosure
- Guarding
- Safe System of Work
- Written Procedures
- Adequate Supervision
- Adequate training/competence
- Information (signs etc)
- Personal Protective Equipment

7.4.5 When the risk has been controlled the remaining risk from the hazard identified should be low.

7.5 **Implementing the finding of the risk assessment**

7.5.1 Following the assessment the findings of the risk assessment must be actioned to ensure the risks are eliminated or suitably controlled.

- 7.5.2 Actioning the findings from the risk assessment may take considerable time and or money. During the process depending on the degree of risk it may be necessary to put in place interim control measures.
- 7.5.3 The control measures implemented should be based on the priority rating following on from the risk assessment rather than based on cost.
- 7.5.4 If the resources are not available to act on the findings of the risk assessment, then the findings and details of recommended actions must be passed to a higher level of management for consideration. Advice may need to be sought from the Directorate Health and Safety Officers or the Corporate Health and Safety Unit on the contents of the risk assessment and recommended actions.

7.6 Recording the findings:

- 7.6.1 The findings of the risk assessment must be recorded. This is a legal requirement and is necessary to show that a risk assessment has been carried out.
- 7.6.2 The risk assessment should be recorded on the Corporate Risk assessment form (appendix 3).
- 7.6.3 The risk assessment does not need to document all of the safety procedures but can refer to health and safety arrangements, manuals, handbooks etc.
- 7.6.4 Risk assessments should be kept by the Manager until a new assessment is made.

7.7 Reviewing and revising the assessment:

- 7.7.1 A risk assessment is not a one off exercise but should be reviewed and revised periodically.
- 7.7.2 The risk assessment should be reviewed if there are any changes in working practises/arrangements/machinery/substances used etc which might affect the validity of the assessment.
- 7.7.3 Risk assessments should also be reviewed following an accident/incident/near-miss/dangerous occurrence.
- 7.7.4 Even if there have not been any changes, which might affect the risk assessment, and there has not been any accident/incident, which would prompt a review, the assessment should still be reviewed periodically (this means at least every 2 years).
- 7.7.5 When the risk assessment is reviewed, in addition to making any changes which are necessary, the assessment should be dated and signed to show that it has been reviewed.

7.8 Communication of Risk Assessments:

- 7.8.1 Any significant findings from the risk assessment together with control measures must be communicated to those who may be affected and records must be kept to show that this information has been communicated e.g. notes

of teams meetings, signed and dated checksheets showing that employees have received copies of relevant assessments.

7.8.2 The findings of the risk assessment can be communicated by giving employees (and other who may be affected) a copy of the risk assessment.

Please note copies of the appendices can be downloaded from the Intranet and are also available from your Manager and/or Health and Safety Officer.

Appendix 1 – Hazard Information

APPENDIX 1

Examples of hazards include:

- Working at height
- Use of objects at height
- Slippery Floor
- Objects (or people) to be moved / lifted etc.
- Use of machines – exposed rotating parts
- Operation of vehicles
- Fire
- Electricity
- Excavations
- Flammable / explosive materials
- Fragile surfaces e.g. a glazed door/window
- Chemicals / dusts e.g. asbestos
- Cold / hot surfaces
- Mechanical lifting operations
- High noise levels
- Biological agents
- Lone working
- Dealing with the public
- Vibration
- Use of hand tools
- Adverse weather
- Stacking objects
- Housekeeping
- Intruders
- Lighting
- Confined space
- Cleaning operations
- Pressure systems

* Please note this list is guidance only and is not an exhaustive list of all hazards likely to be encountered.

Appendix 2 – Who is at risk?

APPENDIX 2**Step 2 - Who is at risk and how?**

Once you have identified the hazards, you need to identify who is at risk from those hazards and how they are at risk. For example, operators are at risk of being cut on an unguarded rotating blade, or operators, cleaners, and all visitors to an area are at risk of tripping on an uneven floor. Identify everyone who comes into contact with the hazard including people not directly involved e.g. cleaners or visitors to the area. Give special attention to vulnerable people involved in the activity e.g. young persons or pregnant women. Consider the list of hazards again, examples of who could be harmed and how have been identified in the second and third column.

THIS TABLE IS NOT EXHAUSTIVE

HAZARDS	EXAMPLE WHO COULD BE AT RISK	EXAMPLE HOW THEY COULD BE AT RISK
Working at height	Contractors, employees working at height	Falling and associated injuries
Use of objects at height	Anyone who may be walking / working underneath (employees, contractors, members of the public etc.)	Struck by falling object and associated injuries
Slippery Floor	Anyone walking on that floor (employees, contractors, members of the public etc.)	Slipping on the floor, falling and associated injuries.
Objects to be moved lifted etc.	Anyone who needs to lift the object.	Any injuries associated with the lifting operation. *
Use of machines – exposed rotating parts	Anyone using the machinery or who could come into contact with it accidentally	Injuries associated with contact with the moving parts, cuts, bruising, amputation etc.
Operation of vehicles	Anyone who could come into contact with moving vehicles. Employees, members of the public, pupils at schools etc.	Injuries associated with being struck by moving vehicles
Fire	Employees, contractors, members of the public (anyone in the area where the fire may be)	Burns, smoke inhalation etc. *
Electricity	Employees, contractors, members of the public (anyone who could be affected by a discharge of electricity (either directly or through arcing)	Burns, shocks from faulty equipment, live working etc.
Excavations	Contractors, employees, members of the public (anyone who may fall into or be trapped by a collapsing excavation)	Falling into unguarded excavation, being trapped in a collapsing excavation and associated injuries

Flammable / explosive materials	Anyone who may be affected by these materials, employees, contractors, members of the public etc.	Burns, etc. if explosions occur or flammable materials are set alight.
Chemicals / dusts	Anyone who may come into contact with these substances	Exposure to the substance and any subsequent short or long term ill health or injury, e.g. dermatitis, burns, occupational asthma etc.*
Cold / hot surfaces	Anyone who may come into contact with these surfaces	Burns
Mechanical lifting operations	Anyone operating lifting equipment or who is likely to be struck if equipment fails	Any associated injuries if mechanical lifting equipment fails
High noise levels	Anyone who is exposed to very high noise levels or who is exposed to certain levels of noise for a long period of time	Chronic or acute noise induced hearing loss *
Biological agents	Anyone who is exposed to biological agents,	Variety of illnesses e.g. HIV, Legionella, weils disease from contact with bodily fluids, water courses or through contact with needles etc.*
Lone working	Anyone who works on their own	Someone may be injured / ill and is unable to raise an alarm, coming into contact with violent members of the public on their own etc. any associated injury verbal or physical. Stress
Dealing with the public	Employees or contractors who may be exposed to violent members of the public through verbal or physical abuse	Associated injuries Stress

HAZARDS	EXAMPLE WHO COULD BE AT RISK	EXAMPLE HOW THEY COULD BE AT RISK
Vibration	Anyone using vibrating equipment	Long term chronic syndromes associated to excessive vibration, e.g. vibration white finger
Use of hand tools	Anyone using them or coming into contact with them	Electric shock if not maintained
Adverse weather	Employees, contractors working in adverse weather or members of the public exposed to adverse weather	Associated injuries that could result from activities carried out in bad weather, e.g. working at height in strong winds. Or, lighting at outdoor event
Workload, work patterns, support	Employees	Stress
Stacking objects	Anyone who may be struck by falling objects	Associated injuries with being struck by falling objects
Workstation equipment	Employees	Injuries and ill health associated with poor set up and use of display screen equipment. Pain in back, wrist etc.

- **NB** Due to the nature of some hazards and the existence of legislation the hazards marked with an asterisk require further specific risk assessments to be carried out, e.g. COSHH risk assessments, fire risk assessments, noise risk assessments, DSE risk assessments (not exhaustive). A general risk assessment should highlight the requirement for these to be carried out
- Please note this list is guidance only and is not an exhaustive list of all hazards likely to be encountered.

When considering risk think about ill health as well as accidents, some risks may be long term, e.g. noise induced hearing loss or contact dermatitis from using a chemical or latex over many years. When considering risk, think about what's reasonably foreseeable, e.g. is it likely to happen or has it happened before? If it has then it may happen again, don't bother with insignificant risks.

Appendix 3 – Risk Assessment Form

Activity / Workplace Assessed:



Location / Department:

Persons consulted / involved in risk assessment:

Risk Assessment Reference Number:

Date:

Review Date:

Reviewed On:

Reviewed By:

Significant Hazard (* see prompt list below – not exhaustive)	People at risk and what is the risk Describe the harm that is likely to result from the hazard (e.g. cut, broken leg, chemical burn etc.) and who could be harmed (e.g. employees, contractors, visitors etc.)	Existing control measures What is currently in place to control the risk?	Risk rating Use matrix identified in guidance note Likelihood (L) Severity (S) Multiply (L) * (S) to produce Risk Rating (RR)				Further action required What is required to bring the risk down to an acceptable level? Use hierarchy of control described in guidance note when considering the controls needed.	Actioned to: Who will complete the action?	Due date: When will the action be complete by?	Completion date: Initial and date once the action has been completed
			L	S	RR	L /M/H				

Risk Assessor(s) _____ Signature(s) _____ Designation _____

DEFINITIONS: **Hazard – Something with the potential to cause harm** **Risk – Chance that the harm will be realised**
Hazard Prompt List: asbestos, glazing, noise, vibration, electrical, poor ergonomics, repetitive motion, manual handling, heat / cold, fire, flammable materials, slip, trip, fall, fall from height, falling object, collision, glare, adverse weather, sharps, substances (dusts/liquids/gases), stress, lone working, confined space, moving parts, crushing, entrapment, compressed air, lighting, operation of vehicles, unstable stacking/storage, violence (Physical/verbal)

Likelihood (L) _____ Severity (S) _____ Multiply (L) by (S) to produce the risk rating (RR)

		LIKELIHOOD		
		1 Unlikely	2 Possible	3 Very Likely
SEVERITY	1 Slight/minor injuries/minor damage	1	2	3
	2 Medium Injuries/Significant damage	2	4	6
	3 Major Injury/Extensive Damage	3	6	9

LIKELIHOOD

- 3 – Very likely
- 2 – Possible
- 1 – Unlikely

SEVERITY

- 3 – Major injury/Extensive damage
- 2 – Medium injury/significant damage
- 1 – Slight/minor damage

1 = Low risk, action should be taken to reduce the risk if

reasonably practicable.

2,3,4 = Medium risk, is a significant risk and would require an appropriate level of resource.

6 & 9 = High risk, may require considerable resource to mitigate. Control should focus on elimination of risk, if not possible control should be obtained by following the hierarchy of control.

Appendix 4 – Assigning a Risk Rating

APPENDIX 4 – ASSIGN A RISK RATING

A risk rating is used to identify significance and prioritise actions. When awarding a risk rating, take into account the controls already in place to minimise the risk.

Risk rating is a combination of the **severity** of the exposure to the hazard and how **likely** exposure to the hazard is to occur.

Likelihood

3 = Very likely

2 = Possible

1 = Unlikely

Severity

3 = Major injury / extensive damage

2 = Medium injury / significant damage

1 = Slight / minor damage

Multiply the severity number by the likelihood number to arrive at the risk factor for each hazard. This will produce a number between 1 and 9. This number will give an indication of the extent of the risk and therefore the priority. The higher the number, the greater the priority and risk and therefore the more resources which may be needed to control the risk.

Risk Rating and Priority

1 = Low risk – Action should still be taken to reduce the risk if reasonably practicable.

2, 3, 4 = Medium risk – Is a significant risk and will require an appropriate level of resource.

6 or 9 = High risk – may require considerable resource to mitigate. Control should focus on elimination of risk, if not possible control should be obtained by following the hierarchy of control (see below).