APPENDIX 2

CAERPHILLY COUNTY BOROUGH COUNCIL

HEALTH AND SAFETY RISK ASSESSMENT CORPORATE MANAGEMENT ARRANGEMENTS

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Contents

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 supervising or managing employees through their work.

1. ARRANGEMENTS

1.1 **Risk Assessments:**

1.1.1 The Management of Health and Safety at Work Regulations 1999 place a duty on employers (the Authority) to make suitable and sufficient assessments of the health and safety risks to which employees (and others not in its employment e.g. contractors, visitors and members of the public) may be subjected due to its work activities, work organisation or premises.

1.1.2 Risk assessments must be carried out by a competent person i.e. somebody with the necessary training, qualifications and experience. This will usually be somebody familiar with the work activity or workplace premises to which the assessment relates and who has completed a risk assessment training course.

1.1.3 It is the manager's responsibility to ensure the assessment is completed by a competent person and that the recommendations that arise are actioned and completed. Although Directorate Health and Safety Officers are likely to be competent to carry out most risk assessments, and will assist where required, it is the Manager's responsibility to ensure individuals within their Service Area are trained and competent to undertake risk assessments.

1.1.4 The completion of a risk assessment should preferably be a team approach and should be carried out in consultation with the employees who carry out the work activity or work in the premises to which the assessment relates. This will help to ensure the assessment considers what actually happens rather than what procedures state should happen.

1.1.5 The risk assessment should be dated and signed by those involved in carrying out the assessment.

1.2 **Identification of hazards:**

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

1.2.2 Manufacturers instructions, working procedures or data sheets, accident records and ill-health trends can help to identify hazards and suitable risk control measures.

1.2.3 Things to be considered when carrying out a risk assessment include:

- The fitting out and layout of the workplace and the particular site where those identified as being at risk will be working or be present, taking into account the individuals who are not at work.

- The nature of any physical, biological and chemical agents employees/others may be exposed to, for how long and to what extent, e.g. cement, glues, mastics and sealants, asbestos, cleaning chemicals etc.

- What type of work equipment will be used and how it will be used and stored.

- 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.

- The arrangements for the provision of first aid

1.2.4 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, maintenance or breakdown procedures for equipment.

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

1.3 **Decide who might be harmed and how**:

1.3.1 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 and trainees.

1.3.2 The assessment should consider cleaners, visitors, pupils, services users and contractors who may not be in the workplace at all times. The assessment should also take into account members of the public and others who may share the workplace.

1.3.3 When considering who might be harmed, the assessment must take into account the number of people who could be involved. This is because different controls may be needed depending on the number of people at risk.

1.3.4 See *appendix 2* for further information on identifying who may be harmed and how.

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

1.4.1 Look at what control measures are already in place to address the risk and whether they are 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 the Violence at Work Register), visits only carried out in office hours, a procedure for working in pairs if there is any uncertainty, a mobile phone provided and the employee has received training, then the real risk might in fact be low and no further action needed. Please note that all of the above controls might not be necessary and this would depend on the assessment of the risk.

1.4.2 Consideration must be given to any legal requirements as well as relevant industry standards. The overall aim is to make the risk as low as possible while still allowing the activities or service provision to take place.

1.4.3 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.

1.4.4 The principles of risk control as outlined below 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:

Eliminate	e.g. by doing an activity in a different way, or substituting a hazardous chemical for a non-hazardous alternative
Reduce	choose collective safety measures over individual person measures e.g. a guard rail rather than a safety harness for work at height activities, or reducing the quantity of a hazardous substance used or stored
Isolate	Isolate power or guard appropriately to prevent or restrict access to dangerous equipment until adequate safety measures are in place

Control by means of:

- Safe System of Work
- Written Procedures
- Adequate Supervision
- Adequate training/competence
- Information (signs etc)

Personal Protective Equipment

1.4.5 When the risk has been controlled the remaining risk from the hazard identified should be as low as is reasonably practicable.

1.5 Implementing the finding of the risk assessment

1.5.1 Following the risk assessment any further actions identified as necessary must be actioned to ensure the risks are eliminated, reduced or suitably controlled as far as is reasonably practicable.

1.5.2 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.

1.5.3 The control measures implemented should be based on the priority rating following on from the risk assessment rather than based on cost.

1.5.4 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.

1.6 Recording the findings:

1.6.1 The findings of the risk assessment must be recorded. This is a legal requirement and is necessary to show that a suitable and sufficient risk assessment has been carried out.

1.6.2 The risk assessment should be recorded on the Corporate Risk assessment form (appendix 3).

1.6.3 The risk assessment does not need to document all of the safety procedures, but can refer to health and safety arrangements, manuals, handbooks and method statements etc.

1.6.4 The Manager should keep a copy of risk assessments until a new assessment is made, either in hard copy format or electronically. It is recommended that old risk assessments should also be kept for three years in order to defend any personal or employers liability claims,

1.7 Reviewing and revising the assessment:

1.7.1 A risk assessment must not be a one off exercise but should be reviewed (and revised periodically where identified as necessary).

1.7.2 The risk assessment should be reviewed earlier than planned for the periodic review if there are any changes in working practices/arrangements/machinery/substances used etc which might affect the validity of the current assessment.

1.7.3 Risk assessments should also be reviewed following an accident/incident/near-miss/dangerous occurrence.

1.7.4 Even if there have not been any changes that might affect the risk assessment, and there have not been any accidents/incidents that would prompt a review, the assessment should still be reviewed periodically (at least annually) to ensure it remains current and accurate.

1.7.5 When the risk assessment is reviewed, in addition to making any necessary changes, the assessment should be dated and signed to show that it has been reviewed and by whom, even when no changes are made.

1.8 Communication of Risk Assessments:

1.8.1 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 check sheets showing that employees have received copies of relevant assessments.

1.8.2 The findings of the risk assessment can also be communicated by giving employees (and others who may be affected) a copy of the risk assessment, although this should not be done as a substitute for instruction and training.

Copies of the appendices that follow can be downloaded from the Intranet and are also available from your Manager and/or Directorate Health and Safety Officer.

Example generic risk assessments can also be downloaded from the Health and Safety pages on the Intranet.

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
- Violence and Aggression
- 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) them 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 who may be exposed to the risk 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, especially peripatetic workers	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.

- N.B. 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 (this list is 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 is reasonably foreseeable, e.g. is it <u>likely</u> 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:
Persons consulted / involved in risk assessment:
Date:
Reviewed On:

Location / Department:
Risk Assessment Reference Number:
Review Date:
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).

A risk-ranking matrix to assist with calculating risk as described above can be found in Appendix 3 of this policy.