Appendix 4

CAERPHILLY COUNTY BOROUGH COUNCIL

RISK ASSESSMENT POLICY

Version:	**Version 4**
Policy Ratified by:	**Health and Safety Division**
Date:	**February 2020**
Area Applicable:	**All Council employees, agency staff and volunteers.**
Review Year	**2023**

Contents

This publication is available in Welsh, other languages or formats on request.

Mae'r cyhoeddiad hwn ar gael yn Gymraeg ac mewn ieithiodd neu fformatau eriall ar gais.

NOTE

Wherever the designation "manager" is used throughout this policy, it is taken to mean Head of Service, Head Teacher, Line Manager, Supervisor and the Officer in charge or anyone who has responsibilities for employees in the course of their work.

1. INTRODUCTION

1.1 This policy sets out the arrangements and responsibilities for carrying out health and safety 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.

3.2 This policy will be reviewed at least every 3 years to ensure it is in line with current legislation.

3.3 The effective date of version 4 of the policy is: February 2020

4. DEFINITIONS

4.1 **Health and safety risk assessment** is a careful examination of the workplace and/or work activities, considering what could cause harm to any person's health or cause them injury, of what existing controls are in place and whether anything else should be done to further reduce/control the risk.

4.2 **Hazard** means anything with the potential to cause harm e.g. by injury or ill health. Examples of common hazards include chemicals, electricity, working at height etc.

4.3 Hazard Event is where someone or something interacts with the hazard and harm results

4.4 **Likelihood** is the chance that the hazardous event will occur/

4.5 **Consequence/Severity** is the outcome of the hazardous event.

4.6 **Risk** is the combination of the likelihood of a hazardous event occurring and the consequence of the event.

4.7 **Reasonably practicable** means that you must do what you can to reduce risk but you may take into consideration the time, effort and cost of implementing the control measures. This means that where the resources needed to implement control measures are high and the resultant risk reduction would be low it may not be considered to be 'reasonably practicable' to implement these measures.

5 LEGISLATION

5.1 This policy along with its supporting management 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
- Topic-specific legislation requiring risk assessment to be conducted e.g. first aid, manual handling activities, Control of Substances Hazardous to Health (COSHH), work in confined spaces or exposure to noise and vibration etc..

6. RESPONSIBILITIES

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 and Heads of Service will:

6.2.1 Be responsible for ensuring the effective implementation of this corporate policy and associated local 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 Undertake or 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 Undertake or ensure that specific risk assessments are carried out where required by law e.g. display screen equipment assessments, manual handling assessments, control of substances hazardous to health (CoSHH) assessments and personal protective equipment (PPE). Please refer to applicable health and safety policies and guidance.

6.3.3 Ensure that a plan is in place to undertake risk assessments on a priority basis and to ensure their periodic review

6.3.4 Ensure that the findings of the risk assessments are communicated to all employees and others (e.g. contractors etc.) who may be affected by the assessment and involved in the work activities concerned.

6.3.5 Ensure that the findings of any risk assessments are recorded and copies of the risk assessments are kept, accessible to employees, until new assessments are produced or the assessments are revised. Old assessments should be archived and should be accessible if required e.g. to defend civil claims.

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

6.3.7 Ensure the risk assessments are monitored and reviewed periodically, at least every two years as well as when there are any changes which may affect the validity of the assessment e.g. changes in work activity, work processes, technology or accidents, incidents, near-misses, and dangerous occurrences.

6.3.8 Ensure this policy is communicated to their employees.

6.3.9 Where required, develop safe working procedures/safe systems of work from the risk assessments.

6.3.10 Ensure their employees comply with this policy and any associated service area arrangements for risk assessment derived from this policy.

6.4 Managers with responsibility for Authority premises will:

6.4.1 Ensure that a general building related risk assessment, and any necessary specific assessments, e.g. asbestos, legionella, fire etc., are undertaken by a competent person and suitable written records of findings and recommendations kept.

6.4.2 Where required develop safe working practices/safe systems of work from the risk assessments related to identified risk control measures.

6.5 Each employee of the Authority will:

6.5.1 Assist the competent person (or risk assessment team) in carrying out a risk assessment where required.

6.5.2 Comply with any working procedure or precautionary measure introduced to reduce or control identified risks.

6.5.3 Ensure their Manager is notified immediately if they become aware of anything that may constitute a hazard or create risk e.g. faulty work equipment, work processes/arrangements.

6.5.4 Ensure their Manager is made aware of any changes to work practices requiring a deviation from the agreed risk assessments/safe systems of work.

6.6 **The Health and Safety Division will:**

6.6.1 Ensure that the risk assessment policy is reviewed at least every three years to ensure it is in line with current legislation.

6.6.2 Ensure the communication of this policy to all Heads of Service.

6.6.3 Provide advice and information on legislation or guidance relating to risk assessment.

6.6.4 Monitor implementation of this policy.

6.7 **Occupational Health will:**

6.7.1 Provide support and advice on the completion of a risk assessment relating to occupational health issues where appropriate

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

7. MANAGEMENT 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 suitable and sufficient assessments of the health and safety risks to which employees (and others not in its employment e.g. contractors, visitors, service users and members of the public) may be subjected due to its work activities, work organisation or premises.

7.1.2 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.

7.1.3 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 the Health and Safety Division may 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.

7.1.4 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.

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

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

7.2.3 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

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, maintenance or breakdown procedures for equipment.

7.2.5 Appendix A 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 additional needs and trainees.

7.3.2 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.

7.3.3 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.

7.3.4 See Appendix B 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 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 Employee Protection 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.

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 low as possible while still allowing the activities or service provision 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 D 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 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

7.4.5 When the risk has been controlled the remaining risk from the hazard (residual risk) identified should be as low as is reasonably practicable.

7.5 Implementing the findings of the risk assessment

7.5.1 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.

7.5.2 Completion of actions required 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 also be sought from the Health and Safety Division 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 suitable and sufficient risk assessment has been carried out.

7.6.2 The risk assessment should be recorded on the Corporate Risk Assessment Form (Appendix C). It is recognised that in some cases specialist risk assessments may require bespoke forms. Unless an alternative form has been agreed with the Health and Safety Division, the corporate form should be used.

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 and method statements etc..

7.6.4 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.

7.7 Reviewing and revising the assessment:

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

7.7.2 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.

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 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 every two years) to ensure it remains current and accurate.

7.7.5 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.

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

7.8.2 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 the Health and Safety Division.

Example generic risk assessments can also be downloaded from the Health and Safety pages on the Intranet (RAMIS4Schools database for schools).

APPENDIX A – Hazard Information

Hazard Information

Examples* of hazards include:

- Working at height
- Items that people may slip or trip on
- Objects (or people) to be moved / lifted etc.
- Exposed rotating parts of machinery
- Vehicle movements
- Fire
- Electricity
- Excavations
- Flammable / explosive materials
- Fragile surfaces e.g. a glazed door/window
- Corrosive / toxic chemicals
- Building materials (particularly if damaged and forming a dust)
- 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 spaces
- 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 B – Who is at risk?

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, members of the public, or visitors to the area. Give special attention to vulnerable people who may be exposed to a risk e.g. young persons, service users 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

HAZARDS	EXAMPLE WHO COULD BE AT RISK	EXAMPLE HOW THEY COULD BE AT RISK
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, Weil's 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
Vibration	Anyone using vibrating equipment	Long term chronic syndromes associated to excessive vibration, e.g. vibration white finger

HAZARDS	EXAMPLE WHO COULD BE AT RISK	EXAMPLE HOW THEY COULD BE AT RISK
Use of electric 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 C – Risk Assessment Form

RISK ASSESSMENT FORM

Activity / Workplace Assessed:

Location

Date:

Review Due Date:

Reviewed On:

Reviewed By:

Significant Hazard	**People at risk and what is the risk** What is the harm that is likely to result from the hazard	**Existing control measures** What is currently in place to control the risk?	**Risk rating**				**Further action if required** What, if any is required to bring the risk down to an acceptable level?	**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
			Likelihood	Severity	Multiply (L) x (S) to produce Risk Rating (RR)					
			L	S	RR	L/M/H				

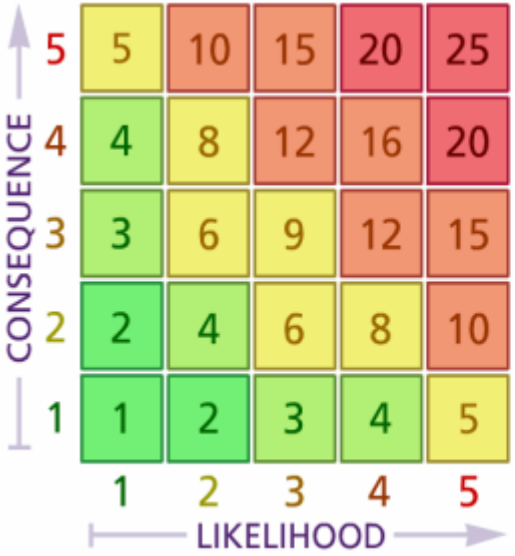
Significant Hazard	People at risk and what is the risk	Existing control measures	Risk rating				Further action if required	Actioned to:	Due date:	Completion date:
			L	S	RR	L/M/H				

Likelihood

1) Very unlikely e.g. there's a 1 in a million chance of the hazardous event happening
2) Unlikely e.g. there's a 1 in 100,000 chance of the hazardous event happening
3) Fairly likely e.g. there's a 1 in 10,000 chance of the hazardous event happening
4) Likely e.g. there's a 1 in 1,000 chance of the hazardous event happening
5) Very likely e.g. there's a 1 in 100 chance of the hazardous event happening.

Consequence

1) Insignificant - no injury
2) Minor – minor injuries needing first aid
3) Moderate – up to three days' absence
4) Major – more than three days' absence



17-25 Unacceptable
Stop activity and make immediate improvements

10-16 Tolerable
Look to improve within specified timescale

5-9 Adequate
Look to improve at next review

1-4 Acceptable
No further action, but ensure controls are maintained

APPENDIX D – Assigning a Risk Rating

Assigning 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.

Multiply the severity number by the likelihood number to arrive at the risk factor for each hazard. The 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

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