



Risk Assessment and determination of necessary controls

University Policy

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The Health and Safety Office will maintain the official version of this document. Before referring to any printed copies, please ensure that they are up-to-date.

University Safety Policy documents represent the standards to which Business Units must comply. To guide University members further in how compliance may be achieved and recorded, see associated documents listed below.

Associated Documents		
Title and Reference	Explanation	Link
Guidance SAF-GUI-RA	How to carry out risk assessments and produce good SOPs	
Arrangements SAF-ARR-RA	University and Business Unit specific arrangements for the risk assessment process	
Forms SAF-FOR-	Various templates for the recording of risk assessments	

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Risk Assessment and determination of necessary controls

1. Policy Introduction

University policies establish standards and expectations for health and safety across the organisation and set the minimum standards expected. This policy with associated guidance and arrangements covers the principles of risk assessment and its application to University activities.

Each working unit, which may be a Department, Site, Institute or School, will be referred to as Business Unit in this document (BU). Each Business Unit can produce its own local Code of Practice/local rules on Safety, in order to locally implement these standards. Any standard(s) imposed at a local level must meet all requirements set out in this document. Where there is a discrepancy, the University policy takes precedence.

2. Regulatory background

Risk Assessment is a specific requirement of the Management of Health & Safety at Work Regulations 1999 (MHSWR).

- There is a mandatory duty upon employers to undertake a suitable and sufficient risk assessment of work-related risks.
- A suitable and sufficient risk assessment means that
 - the level of detail is proportionate to the risk and appropriate to the nature of the work,
 - it considers who might be affected
 - it deals with the obvious significant foreseeable risks
 - it identifies the precautions (control measures) that are reasonable.

It is an implied requirement in the Health & Safety at Work (etc.) Act 1974.

- This Act incorporates the phrase ‘so far as is reasonably practicable’ meaning that the degree of risk in a particular environment or activity can be balanced against the time, trouble, cost and physical difficulty of taking measures to avoid the risk. The greater the risk, the greater the rigour that may be expected to control it. E.g. reasonably practicable measures should be put in place to stop people falling or being struck by a falling objects in the workplace.
- ‘So far as is practicable’ without the word ‘reasonably’ implies a stricter standard. This duty embraces whatever is technically possible in the light of the knowledge that the duty holder has, should have or has access to at the the time (ignorance is not defence). The cost, time and trouble involved must not be taken into account. E.g. “so far as is practicable, every tank, pit or structure where there is a

risk of a person in the workplace falling into a dangerous substance in the tank, pit or structure, shall be securely covered or fenced.”

Many other safety regulations state that a risk assessment must be carried out to take account of specific hazards, e.g. display screen equipment, manual handling, noise, hazardous substances.

3. Roles and Responsibilities

3.1 University Council will

- Seek assurance from the Director of Health and Safety that appropriate systems are in place to ensure compliance with this policy and the regulatory requirements;
- Be aware of the significant health and safety risks faced by the organisation;
- Seek assurance that risk control measures are in place and acted upon.

3.2 University Executive Board will

- Ensure that they are provided with information on the significant risks facing the institution;
- Seek assurance that risk control measures to ensure safety are in place and are being implemented;
- Seek assurances that those with risk management and assessment responsibilities are adequately trained and competent;
- Seek assurance that there is a process for auditing health and safety performance;
- Seek assurance that competent health and safety advice is available to support business units in managing and assessing risks;
- Be notified of any significant accident, incident or enforcement action.

3.3 The Health and Safety Office will

- Provide and keep updated, policies, arrangements and guidance to ensure any statutory requirements are met;
- Provide competent advice and support on risk assessments to the University community;
- Ensure appropriate oversight for compliance and provide reports to University Health and Safety Committee and UEB;
- Provide access to risk assessment training and ensure adequacy through routine review;
- Have an oversight of reported incidents and make recommendations where necessary in relation to risk assessments;
- Ensure that Business Units adhere to the University Arrangement by carrying out appropriate monitoring.

The University Health and Safety Committee will

- Be the formal oversight and compliance committee for the University and will provide assurance to UEB and ultimately to University Council;
- Consider and advise on University risk assessment arrangements.

3.4 The Head of Business Unit will

- Ensure that local management of risk assessments meets the requirements as set out in University policy and associated arrangements;
- Ensure responsibilities are delegated and understood for conducting and approving (including by any relevant committees) risk assessments and that those involved have received sufficient training to be competent in doing so;
- Ensure that appropriate arrangements are in place for risk assessments to be carried out and approved before work is started;
- Ensure that adequate resources are allocated to the Business Unit risk assessment arrangements;
- Ensure risk assessment is incorporated as appropriate into strategic decisions such as new projects and multidisciplinary facilities;
- Lead on any campaigns associated with risk management;
- Review performance of direct reports in terms of risk assessment management;
- Lead by example, e.g. ensure that own areas of responsibility have robust risk assessment management in place;
- Ensure that risk assessments identify health surveillance needs in relation to potential occupational illness that may arise from the Business Unit's activities;
- Ensure that there is robust record keeping of risk assessment documentation in accordance with UoN policy;
- Ensure that following any significant accident, incident or enforcement action, the relevant risk assessments are reviewed;
- Ensure that the responsibility for risk assessments is agreed when the Business Unit has facilities or equipment shared with other employers.

3.5 The Principal Investigators and Line Managers will

- Ensure that risk assessments are undertaken and recorded in line with UoN and local arrangements and that staff, students and others are following procedures and control measures;
- Ensure that appropriate risk assessments are in place and approved by you or an competent designee before commencing work, including for new facilities, processes or equipment;
- Ensure that local resources are deployed effectively to ensure the risk assessment process works effectively;
- Ensure those carrying out risk assessments are competent to do so;
- Ensure that risk assessments identify health surveillance needs in relation to potential occupational illness that may arise from their Group's activities;

- Monitor that risk assessments have been carried out, recorded and control measures effectively implemented and that any identified testing, maintenance or statutory examinations are being carried out;
- Where health and safety is being compromised suspend the activity pending a review of the risk assessment and involve the Business Unit Head and Health and Safety Coordinator for support as appropriate;
- Report any significant failings relating to the risk assessment process to senior managers and your Health and Safety Coordinator;
- Ensure that the investigation of any significant accident or incident includes a review of the relevant risk assessment(s);
- Ensure risk assessments are reviewed regularly in line with local arrangements;
- Inform Business Unit Health and Safety Committee of any new facilities or any modifications planned in existing facilities for which new risk assessments will be required.

3.6 Health and Safety Coordinators (HSCs) will

- Check that local arrangements for the risk assessment process meet the requirements of University policy and associated arrangements;
- Ensure the local arrangements for risk assessment are recorded and communicated to relevant members of the Business Unit (consider induction of new members to the process);
- Ensure arrangements are in place for training of Business Unit members in the risk assessment process (both carrying out and approval as appropriate). Facilitate members maintaining their competence in carrying out/approving risk assessments;
- Monitor the implementation of the risk assessment process across the Business Unit;
- Where health and safety is being compromised suspend the work pending a review of the risk assessment;
- Report significant failings relating to the risk assessment process to senior managers and the Business Unit Health and Safety Committee/other local forum;
- Ensure that the investigation of any significant accident or incident includes a review of the relevant risk assessment(s);
- Have an oversight of local inspections and ensure that completion and approval of risk assessments is satisfactory and that implementation of control measures is monitored.

3.7 Staff and Students will

- Comply with all risk assessments and safe operating procedures applying to their work;
- Not commence hazardous work without a valid risk assessment in place;
- Implement the control measures identified in the risk assessment;
- Will work to the procedures set in line with the training they have been given;
- Report any shortcoming or defects in the risk assessment control measures to their line manager (and Health and Safety Coordinator if appropriate).

(Staff and students may be involved in producing risk assessments for their work, as directed and approved by their line manager/supervisor.)

4. Applying Risk Assessment to University Activities

Suitable and sufficient risk assessments **must** be carried out for all hazardous activities undertaken and controlled by the University.

Risk assessment applies to all University activities, on and off site, including:

- Business as Usual (teaching, research, technical, facilities operations (Estates and Hospitality) and administrative operations) and
- Less obvious activities such as fieldwork, overseas travel, placements, events, outreach, work experience, marketing activities and widening participation.

Key points:

- Risk assessments must be undertaken, approved and recorded.
- They must be suitable and sufficient in detail.
- They must be proportionate to the risk profile.
- All foreseeable significant hazards must be accounted for.
- Control measures must be clearly identified with reasonable practicability taken into account.
- The significant findings must be communicated to those at risk (induction, training, instruction and assessment of competency).
- Where appropriate standard operating procedures (SOPs) must be generated.
- Risk assessments must be regularly reviewed to ensure validity (UoN arrangement - minimum 2-yearly review).
- Robust record keeping of current risk assessments and associated SOPs and training/competency records must be in place.

4.1 Approaches to grouping risk assessment of similar tasks

Ultimately there is flexibility in approach to the grouping and recording of risk assessments. To ensure a proportionate approach that minimises excessive paperwork and duplicate versions, Business Units should consider the following types of approach:

Type	Explanation	Example
Master: Specific task carried in out in similar fashion across several/many locations	Produce a master risk assessment that allows modification to create a local version for a particular location. Parties involved: an author who defines the activity covered by the master risk assessment; a risk assessor and approver for the local	<ul style="list-style-type: none"> ▪ For example, using an item of kitchen equipment that is present in many catering outlets – produce a master risk assessment for the equipment itself, circulate to all units that use the same type of equipment. The local risk assessor modifies it to take into account site specific detail and it is approved locally.

	version to check it is suitable and sufficient.	<ul style="list-style-type: none"> ■ For example, use of lab equipment such as centrifuges or autoclaves in multiple labs. A master risk assessment is authored to include the key control measures for use of the equipment and local risk assessors/approvers ensure it is suitable for their location. ■ Other examples might be manual handling activities or work at height tasks across a unit.
Activity/Task specific	<p>A specific ‘bespoke’ risk assessment is needed.</p> <p>Parties involved: a risk assessor and an approver.</p>	<ul style="list-style-type: none"> ■ For example, a researcher sets up apparatus to carry out a particular scientific process particular to their project. A standalone risk assessment is produced. ■ For example, a group of researchers are to carry out a study overseas – a standalone fieldwork risk assessment is produced.
Dynamic risk assessment (site or experiment specific) – for a specific task that involves the same process but the location/situation constantly changes	A master or hub risk assessment is produced to cover the task but it is supplemented by a site specific or dynamic assessment to take account of changes in the environment.	<ul style="list-style-type: none"> ■ For example, the work of an Estates worker who undertakes plumbing work across the university. The hazards associated with plumbing remain fairly constant but the situation in which the plumbing takes place can vary enormously. The approach would be to have a master assessment for plumbing supplemented by ‘on-the-day’ assessment of the particular environment. ■ Another example of this would be chemical work where the process remains constant but the nature and quantity of the substances used varies on a small but potentially significant scale. Again a master assessment for the process would remain constant but the worker’s lab book might be used to record the changes and any effects on the controls. ■ This could also be applied to emergency / spill situations.

4.2 Activity types requiring specific risk assessments

Certain activities require specific risk assessments, in particular work with Biological agents and Genetic Modification work, Lasers, Display Screen Equipment, Fieldwork, Expectant Mothers and Young Persons. For further details and specific risk assessment forms see safety topics alphabetically in the [Health and Safety Office A-Z of guidance](#).

To assist consistency in applying the control measures to the activity, it is expected that Business Units develop standard operating procedures; see Associated Documents below.

5. Associated Documents

5.1 Standard Operating Procedures (SOPs)

Standard Operating Procedures may also be known as codes of practice, local rules, instruction sheets, method statements or written protocols. The aim of a SOP is to capture both safety and operational requirements in a single document which then forms the basis for training workers.

A good SOP should be easy to read and understand and not to be open to confusion or interpretation in terms of control measures to be employed. They should identify the following:

- An outline of the procedure/task/activity
- The significant hazards and controls needed for each stage
- Equipment and PPE (Personal Protective Equipment) required
- Training and competency requirements
- Date and expected review of the SOP

It may also be appropriate for an SOP to include:

- Setting up and dismantling procedures
- Any servicing and maintenance requirements
- Any waste handling and disposal arrangements
- Emergency procedures

Training and supervision in relation to a SOP should be conducted and recorded in accordance with the UoN policy and local arrangements. In terms of record keeping, it is not sufficient for workers to sign that they have read and understood a SOP that covers practical skills – this does not confirm competency in carrying out the task.

6. Training, Competency and Supervision

Those carrying out and/or approving risk assessments need to be trained and competent to do so.

The University is required to ensure workers are competent to carry out their tasks, following the requirements of the relevant procedures (SOPs). If not deemed competent in a task, workers must be appropriately supervised. To attain competency, workers must be trained and assessed for competency.

The following competencies are required in relation to the risk assessment process:

Competencies Required

Role	Heading
Health and Safety Coordinator	Understands risk assessment principles, e.g. by attended Health and Safety Office Risk Assessment Training
	For delivering Risk Assessment training locally, must attend Health and Safety Office Train-The-Trainer in Risk Assessment
Supervisor / Line Manager	Knowledgeable in risk assessment principles, able to check risk assessments are suitable and sufficient and compliant with local arrangements (e.g. via locally-delivered workshop utilising Health and Safety Office resources or face-to-face course.
Workers (staff, students, visitors)	Local induction and training on risk assessment control measures.

7. Monitoring

The University standard is to carry out monitoring and inspection in all areas in accordance with the UoN monitoring and inspection arrangements. This may involve a general audit of risk assessments or focus on particular topics/issues.

The current UoN arrangements for monitoring and inspection can be found on the Safety Office website. Arrangements cover both University-level and Local-level monitoring.

In summary, it is expected that, as part of local inspection, the Business Unit routinely examines its risk assessment arrangements, how well they are being implemented and the quality of the documentation produced. This should include risk assessments, SOPs and Codes of Practice. Monitoring should include observation of working practices to establish whether standards “on the ground” match with risk assessments and related paperwork. Working practice that does not comply with risk assessments and associated paperwork must re-assessed and remedial action taken if required.

At both University-level and local-level, monitoring of risk assessments must be evidenced by having appropriate written reports with plans to deal with identified actions. These should be presented and monitored through the local safety committee.

On behalf of the University, the Safety Office carries out Health and Safety Management Audits in business units. This will include review of risk assessments and associated paperwork. A report detailing recommendations is submitted to the Head of the Business Unit who will be requested to produce an action plan to address the findings.

8. Accident/Incident Investigation relating to Risk Assessments

As part of incident investigation, review of applicable risk assessments must be undertaken to ensure that they are valid and where deficiencies are identified, remedial action must be instigated. Modifications to risk assessments that result in changes in working practice must be communicated to workers and supplementary training and competency checks may be required.

9. Occupational Health and Health Surveillance

The requirement for Health surveillance must be identified in risk assessments as appropriate.

10. Non-routine Operations / Business Not as Usual

The risk assessment process should include Business Not as Usual scenarios such as:

- Emergencies
- Spillages, leaks,
- Setting up / dismantling,
- Cleaning, testing, maintenance,
- Transport, waste handling.

Record such scenarios in the same way as other routine tasks are captured.

11. Specific groups at risk

New and Expectant Mothers

A new or expectant mother is someone who is pregnant, has given birth in the previous six months or is breastfeeding. A specific risk assessment is recommended for individuals once they formally inform the University that they are pregnant. The Business Unit should have considered any activities that would present to a risk to a pregnant mother or her unborn fetus, for example - certain chemicals present these effects and general risk assessment should identify this in order that workers of child-bearing age can be informed in advance.

Young Persons

Line managers must consider the potential risks to Young Persons (under 18 years of age). Consider young workers who are employees as well as those on work experience. Refer to separate [University guidance](#).

12. Review of Risk Assessments

Risk Assessments must be reviewed regularly to ensure they are valid.

The University expects Business Units to review risk assessments in the following circumstances:

- After an incident or near miss
- Following a complaint
- When there are changes in equipment, process or environment
- When there are changes in standards, university policy or legislation

Where the above cases have not applied, the University expectation is a two-yearly review. This must be evident by the date and signature of the risk assessor/approver.

GUIDANCE

This guidance supports the University Health and Safety Arrangements on Risk Assessment (SAF-MAN-2.3).

Principles of Risk Assessment, How to do a Risk Assessment and How to Record it.

There are 6 key steps to the risk assessment process and the record form you select should incorporate steps 1-4:

1. Identify the hazards
2. Identify who might be harmed
3. Evaluate the risks
4. Identify suitable control measure to minimise the risk
5. Communicate, inform, instruct and train workers
6. Monitor and review implementation

Recording Risk Assessments

Information from stages 1-4 should be entered in the appropriate columns of the risk assessment form that the Business Unit has selected for record keeping purposes.

Risk Assessment Form options are given in the Forms section. These may be modified to suit local need and are the minimum standard required.

Step 1: Identify the hazards

Definition of Hazard: the potential for something to cause harm, e.g. slips, trips, sharps, manual handling, using chemicals, work at height, overcrowding at an event, lone working during off-site fieldwork.

One of the most important aspects of your risk assessment is accurately identifying the potential hazards in your workplace.

Ask yourself what is it about the activities, processes or substances used that could injure staff, students or others or harm their health?

Involve those who understand the activity well. Use sources of information such as:

- **Websites:** Health and Safety Office A to Z of guidance, HSE topic specific resources, National standards, Industry standards, etc.
- **Manufacturers' safety data sheets, instructions, manuals, etc.**
- **History of accidents and ill-health** – these can be helpful when reviewing an on-going activity risk assessment

Think about **how** staff or students (or others who may be present, such as contractors or visitors) might be harmed. Ask those involved in the activity as they may notice things that are not obvious to you and may have some good ideas on how to control the risks.

There are some hazards with a recognised risk of harm, for example working at height, working with chemicals, machinery, and asbestos. Depending on the type of activity, there may be other hazards that are relevant.

- **Take account of non-routine operations** (e.g. setting up, maintenance, cleaning operations, transport, waste, and emergency planning).
- **Remember to think about long-term hazards to health** (e.g. high levels of noise or exposure to harmful substances).

A non-exhaustive list of potential hazards	
General	Fire, Slips, Trips, DSE, Manual Handling, Sharps, Lone Working, Isolated Working, Violence, Stress
Workplace (inside or outside or offsite)	Poor access / egress, Storage-related, Falling objects, Noise, Ventilation, Lighting, Temperature, Weather, Confined Space, Uneven surfaces, Changes in Level, Overhead hazards, Work at Height, Building-related, Transport/Traffic-related, Fieldwork
Work Equipment machines, apparatus, rigs, tools, equipment	Impact, Entrapment, Noise, Vibration, High Pressure, Electrical, Thermal, Raising/Lowering, Work at Height, High-power Lasers, Magnetic Fields, Sharps, In-house Design
Substances hazardous to health as fumes, vapours, gases, mists, liquids, solids	Radiation, Flammables, Chemical (toxic, corrosive, etc.), Biological, Cryogenes, Carcinogens, Nanoparticles, Asbestos, Legionella

Step 2: Identify who could be harmed

You need to be clear about who might be harmed, i.e. the groups of people. You should state this on your risk assessment, e.g. Staff, Students, Visitors, Contractors, Members of the Public, Event attendees, Events Staff, etc. Remember:

- Some workers may have particular requirements, e.g. new and young workers, migrant workers, new or expectant mothers, people with disabilities, temporary workers, contractors, homeworkers and lone workers;
- Think about people who might not be in the workplace all the time, such as visitors, contractors and maintenance workers;
- Take members of the public into account if they could be harmed by your activities;
- If you share a workplace with other organisations, consider how your activities could affect them and how their activities could affect you and your workers;
- Ask your workers if there is anyone you may have missed.

Step 3: Evaluate the risks

Definition of Risk: the likelihood that harm will occur.

Having identified the hazards and what harm could occur, you then have to decide how likely it is that harm will occur and the impact/severity of the consequences, i.e. the level of risk and what to do about it. Risk is a part of everyday life and you are not expected to eliminate all risks. What you must do is make sure you know about the main risks and the things you need to do to manage them responsibly.

Generally, you need to do everything 'reasonably practicable' to protect people from harm. 'So far as is reasonably practicable' means that the degree of risk in a particular environment or activity can be balanced against the time, trouble, cost and physical difficulty of taking measures to avoid the risk. The greater the risk, the greater the rigour that may be expected to control it. However, you do not need to take action if it would be grossly disproportionate to the level of risk.

Your risk assessment should only include what you could reasonably be expected to know – you are not expected to anticipate unforeseeable risks.

Quantifying Risk

Evaluation of risk may be quantitative or qualitative. There is no legal requirement to use one method or another. Both are straightforward to apply although the former is a little more complex than the latter.

Business Units should be clear on the approach to be adopted by stating it in their local arrangements for risk assessment.

In both approaches, the higher the risk rating, the greater the endeavour that must be made to reduce the risk as far as is reasonably practicable; unless an absolute duty applies.

The Health and Safety Office has provided templates for recording risk assessments for each approach.

Please note that the forms allow you to evaluate the risk before and after implementing control measures.

Method 1: Qualitative Evaluation of risk

This approach involves assigning an overall risk evaluation of High, Medium or Low. It should take into account factors such likelihood of an incident, severity of the consequences, how many people could be affected and the competence of those involved but these factors are not separately "scored."

- **High** - The hazard is likely to occur and/or have serious consequences
- **Medium** - The hazard might occur and/or has medium adverse effects
- **Low** - The hazard is unlikely to occur and/or serious harm is unlikely

You may decide the hazard severity is high but the likelihood is low – typically you would assign this as a medium risk.

Some hazards may seem to attract a ‘High’ risk rating, e.g. working at height, working with toxic chemicals. However, you might conclude that a ‘Medium’ risk rating is appropriate because of the robustness of control measures that are being implemented.

Method 2: Quantitative Approach to Evaluating Risk

In this approach, the level of risk depends upon a combination of two factors, how likely the hazard is to occur and the consequence or severity of the outcome. For each a number between 1 and 5 is assigned depending on the level, and then multiplied together to give a risk rating, see the table below.

RISK = LIKELIHOOD X CONSEQUENCES (SEVERITY)

Table: Risk Evaluation Definitions					
Likelihood	Definition	Con-sequences	Definition	Risk Rating	Actions
1	Hazard is unlikely to occur	1	No injury/ill-health	1-6 Low or Acceptable Risk	Progress actions that are straightforward and cost effective
2	Hazard will occur occasionally	2	Minor injury/ill-health		
3	Hazard will occur sometimes	3	Injury/Ill-health required first aid	8-15 Moderate Risk	Effort required to reduce risk. Moderate resource may be required
4	Hazard will occur regularly	4	Injury/Ill-health requiring medical treatment outside the University		
5	Hazard will occur frequently	5	Severe – Death or major injury/significant ill health	16-25 High/Substantial/Intolerable Risk	Work should not commence until control measures have been implemented. Considerable resource might be required to achieve this

For instance, consider evaluating the manual handling risk associated with moving copier paper from a storage room at one end of the corridor to a print hub at the other end. It is done on an occasional basis by a variety of office staff. The likelihood might be considered to be 2 and the consequences 2. Multiplied together this gives 4 so a low risk.

Conversely, the regular handling of delivered catering involving all sizes and weights of container/box at various catering outlets might be evaluated as 4 and 4 giving 16 – a high risk.

Clearly the evaluation is influenced by the control measures that are already in place and the latter example may result in a lower figure if there are good handling aids in place, loads are broken down and staff are appropriately trained.

Similarly, a flammable liquid presents a fire hazard but the risk of this occurring is low whilst being correctly stored and handled (harm unlikely to occur) but high if used close to a source of ignition and out on the bench in an open system.

Please note that the evaluation of risk is often subjective so it is important to genuinely consider what can reduce risk rather than rely wholly on the numbers.

Step 4: Identifying Suitable Control Measures (Precautions)

In identifying control measures, the element of being reasonably practicable can be taken into account with the exception of where there are absolute duties such as the routine examinations of certain pressure systems and lifting equipment (PSSR and LOLER) and the 14-monthly checks of Local Exhaust Ventilation (COSHH Regulations).

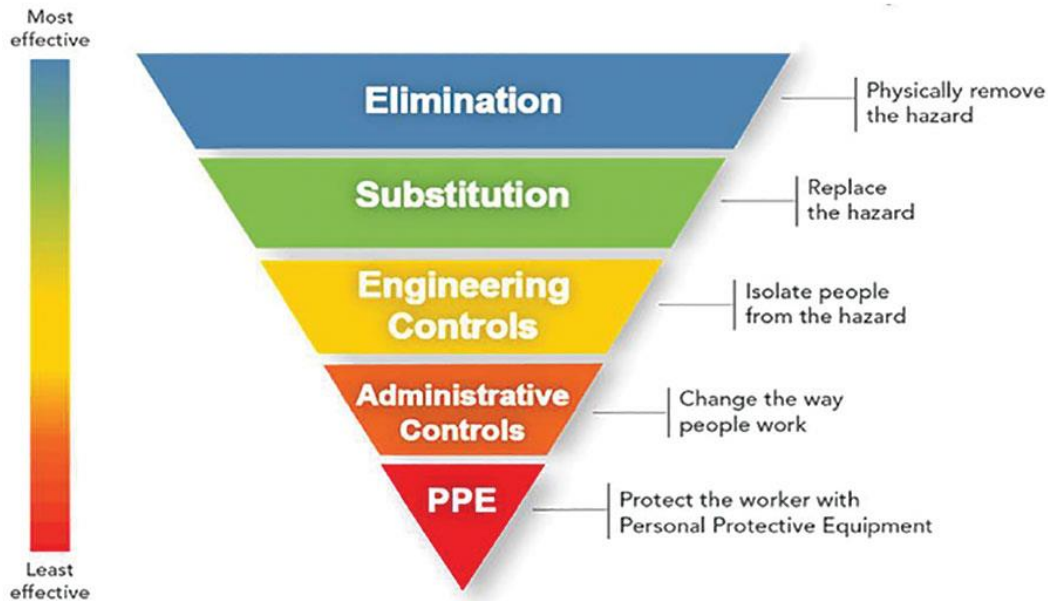
For control measures, look at what you're already doing and the control measures you already have in place. Ask yourself:

- Can I get rid of the hazard altogether?

If not, how can I control the risks so that harm is unlikely? Some practical steps you could take include:

- trying a less hazardous option;
- preventing or restricting access to the hazards;
- organising your work to reduce exposure to the hazard;
- issuing personal protective equipment;
- providing welfare facilities such as first aid and washing facilities;
- involving and consulting with workers on what can be achieved.

There is a hierarchy of control that must be applied when considering the control measures to put in place in a risk assessment. The higher up the hierarchy, the more effective and reliable the control measure is. Personal Protective Equipment is considered the last resort because it relies heavily on user compliance (problems of forgetting to wear it, not wearing it correctly, not replacing damaged PPE, not storing it correctly, etc.).



Record the control measures on the risk assessment form. Provide sufficient detail for it to be clear exactly what the control measure is. Avoid phrases such as “wear appropriate PPE” or “appropriate PPE is available” as this does not explain exactly what the worker must use. “Local procedures in place” is also vague; ensure clear references or links are made if relying on other documentation for the detail that a worker must follow.

Step 5: Communicate, inform, instruct and train workers

The most important part of the risk assessment process is the implementation of the findings.

Once you have completed a risk assessment, it is crucial to ensure that workers are informed, instructed or trained as appropriate to implement the control measures. It is good practice to put your control measures into a standard operating procedure document that can be used as the basis for training, instruction, etc.

Decide on the best approach for your workers and ensure that any training is recorded and that achievement of competency is included where relevant.

Standard Operating Procedures (SOPs)

SOPs may also be known as codes of practice, local rules, method statements or written protocols. The aim of a SOP is to capture both safety and operational requirements in a single document which then forms the basis for training workers.

A good SOP should identify the following;

- An outline of the procedure/task/activity

- The significant hazards and controls needed for each stage
- Equipment and PPE (Personal Protective Equipment) required
- Training and competency requirements
- Date and expected review of the SOP

It may also:

- Setting up and dismantling procedures
- Any servicing and maintenance requirements
- Any waste handling and disposal arrangements
- Emergency procedures

Give workers the opportunity to feedback on the risk assessments that affect them as they may identify problems with implementing control measures that you have not thought of. Review risk assessments regularly to ensure they are valid and fit for purpose. The University stipulates a two-yearly review as standard or sooner in particular circumstances such as after an accident or complaint or major change in process, equipment or environment (see Arrangement Section 10).

Step 6: Monitor and Review Implementation

Once suitable control measures have been identified, the responsible person (line manager / PI) must ensure that they are appropriately implemented and that workers are suitably trained and competent to work safely.

This should involve monitoring through visits to the work area as well as Business Unit monitoring and review processes.

ARRANGEMENTS

1 Risk Assessment Arrangements – University Level

- 1.1 **Forms:** The University Health and Safety Office has templates for recording risk assessments and standard operating procedures. The forms are considered to be the minimum standard required. Business Units are expected to use these rather than developing separate forms.
- 1.2 **Advice and Support:** The University Health and Safety Office will support Health and Safety Coordinators and their colleagues with advice on the risk assessment process as well as higher risk activity assessments when needed.
- 1.3 **University Monitoring:** The University will monitor the implementation of risk assessment arrangements and the quality of risk assessments through periodic auditing. This will be either as part of a general health and safety management review or as an audit of a specific topic or location.
- 1.4 **Risk Assessment Training:** The University Health and Safety Office will provide general and bespoke Risk Assessment Training to Health and Safety Coordinators, Line Managers and workers as required.
- 1.5 **Record Retention:** In terms of record retention, risk assessments should be kept for 6 years after the activity has ceased. Note that work with hazardous substances that have the potential to cause chronic illness in the longer term, e.g. carcinogens, should be kept for 40 years. Records should be kept by the Business Unit.

2 Risk Assessment Arrangements – Business Unit Level

In line with the University's health and safety management system, Business Units (Faculty, School, Department or Institute) must have written arrangements in place for how risk assessments are to be carried out and recorded and these must be made known to relevant members of the BU. It is expected that the BU Health and Safety Coordinator maintains and updates the arrangements on an annual basis.

Local arrangements should include:

- The risk assessment form(s)
- for recording risk assessments
- How the process will apply to all hazardous activities that the Business Unit engages in
- Requiring line managers and PIs to ensure risk assessments are in place prior to work starting
- What training and information will be provided for those expected to carry out risk assessments

- Who will carry out risk assessments and who will approve them and how they will record their approval
- Where risk assessments will be stored (considering robust methods to avoid loss of data when individuals leave)
- How the findings of risk assessments will be communicated with those who are potentially at risk
- How training needs will be identified and implemented from risk assessments
- Who locally is available to offer support and guidance with the risk assessment process
- Timescales for review and other trigger points for review

The University expects that Business Units will include monitoring of risk assessments through local inspections and application of the Risk Assessment Success Indicators checklist to ensure that appropriate standards are being met and that control measures identified in risk assessments are being implemented.

RISK ASSESSMENT RECORD FORMS / TEMPLATES

(Links at: <https://www.nottingham.ac.uk/safety/policies-and-guidance/risk-assessment/risk-assessment.aspx>)

The University has the following forms for recording risk assessments:

- Master Risk Assessment for activities repeated in multiple locations – qualitative and quantitative versions
- Risk Assessment Form for individual activities, tasks, events or projects - qualitative and quantitative versions
- Dynamic Risk Assessment for site specific situations

Related Form templates:

- SOP General Template
- Induction, Training and Competency Record Form