


HEALTH AND SAFETY MANAGEMENT SYSTEM GUIDANCE REGISTER		Guidance	G013
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1.0 Scope:

- 1.1 To provide guidance for the completion of an AU risk assessment.
- 1.2 To ensure compliance under the Management of Health and Safety at Work (Amendment) Regulations, 2006 and the Health and Safety Executive (HSE) Managing for health and safety (HSG 65) guidance.


2.0 Responsibility:

- 2.1 Managers, supervisors, section heads, project officers and safety officers.
- 2.2 It's suggested that the assessment of procedures in general use in Faculties/Professional Service Departments be performed at the Faculty/Professional Service Department level. Specific assessments should be performed by the individuals responsible for the work areas where these work activities occur since they will have the greatest knowledge of the activities being undertaken. All risk assessments should be undertaken by competent person(s). In this context, competent person(s) is/are someone who has knowledge of the:
 - Work involved through personal experience;
 - Principles of risk assessments and preventing risks;
 - Specific subject under assessment, through training for example.
- 2.3 Competent persons may also wish to consult and include other members of staff who are undertaking the procedures being assessed during the risk assessment process, in line with recognised best practice. Findings, and in particular, the control measures identified during the risk assessment, should be disseminated to all affected persons.
- 2.4 Affected persons shall be expected to adhere and comply with the control measures identified and communicated during the risk assessment process.
- 2.5 Regular Risk Assessment Training Courses are offered by the Health, Safety and Environment Team to Aberystwyth University members of staff. Members of staff can view forthcoming training courses and reserve their places via the following link: https://stafftraining.bis.aber.ac.uk/hs/list_courses.php.

3.0 Introduction:

3.1 *Why conduct a risk assessment?*

- 3.1.1 An employer has a duty of care to protect its employees under Section 2 of the Health and Safety at Work etc. Act 1974. As a way of conducting this, the Management of Health and Safety at Work (Amendment) Regulations, 2006 and HSG 65, 'Managing for Health and Safety', require risk assessments to be completed and communicated appropriately.
- 3.1.2 A risk assessment enables the management of risk, highlighting where harm may occur and adequately assessing whether reasonable steps are currently in place. It also assists the identification of further risks previously overlooked.


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3.1.3 Risk assessments are not about producing reams of paperwork, but an important exercise ensuring the protection of employees undertaking work-related activities. They should result in an activity to be controlled 'as far as is reasonably practicable' (SFAIRP) to reduce the hazard to be 'as low as is reasonably practicable' (ALARP).

3.2 **When to conduct a risk assessment?**

- 3.2.1 Any activity or group of activities where there is the potential to cause harm, either physically, mentally or financially, and regardless of the severity, should have an associated risk assessment.
- 3.2.2 This assessment should be conducted before work commences that has the potential to present a risk of injury or ill health.
- 3.2.3 It is only necessary to conduct a risk assessment where a preliminary scope of the activity shows that hazards have the potential to pose a significant risk and/or when it is unclear that existing or planned controls are adequate in principle and practice.
- 3.2.4 A risk assessment is not needed if it is clear from a preliminary study that the risks are trivial or that a previous assessment has proven that existing or planned controls:
- conform to well-established legal requirements or standards;
 - are appropriate for the tasks;
 - are, or will be, understood and used by everyone concerned.
- 3.2.5 Where a risk assessment is not necessary, it is however required that, where appropriate, controls continue to be used.
- 3.2.6 There are statutory requirements for specific risk assessments to be completed separately to a standard risk assessment. These include:
- Asbestos
 - Ionising Radiation
 - Lead
 - Noise
 - Substances Hazardous to Health (CoSHH)
 - Display Screen Equipment (DSE)
 - Manual Handling
 - Personal Protective Equipment (PPE)
 - Genetically Modified Organisms (GMOs)
 - Working in Confined Spaces
- 3.2.7 Sometimes, these specifics can be combined as a single assessment (for example, manual handling and PPE), but others would not be appropriate to do so (for example, manual handling and ionising radiation).

3.3 **What should be included in a risk assessment?**

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- 3.3.1 Risk assessments help to build a risk profile for an activity or business. It should cover:
- The nature and level of the risks
 - The likelihood of adverse effects occurring and the level of disruption
 - Costs associated with each type of risk
 - Effectiveness of the controls in place to manage the risk
- 3.3.2 The Health, Safety and Environment Team have developed a risk assessment template which should be used for all appropriate AU activities. This template provides a framework with which compliance with HSG65 can be achieved.

4.0 Practice:

4.1 Identification:

4.1.1 *Activity:*

- The assessed activity may be defined by the particular functions carried out by a department or section (e.g. a process or operation using an item or plant or equipment); work undertaken in a defined area; or work carried out by individuals or groups of people (e.g. maintenance operations staff)

4.1.2 *Known and foreseeable hazards:*

- These may be identified by analysing the various jobs that people do; by inspecting the workplace; talking to operators; consulting material safety data sheets (MSDS) or reference books; assessing current procedures; or analysing incident reports.
- List the hazardous agents, substances, equipment, machines and tools or the processes themselves (e.g. working from height).


4.1.3 *Persons at Risk:*

- Note who will be concerned with the identified hazards in Section 4.1.2
 - There is no need to name individuals people (e.g. John Smith), but necessary to note the position (e.g. 'operator' or 'bystander')
- It may be important to specifically identify:
 - Medical conditions that pose an extra danger
 - Life-threatening allergies
 - Young persons

4.2 Categorising the Risk:

4.2.1 This is related to the consequences of the identified hazards in Section 4.1.2 causing harm

4.2.2 This can be assessed with Appendix B on the risk assessment form


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- Both the likelihood of harm and the severity if the harm were to occur should be used to produce an overall risk factor of the hazard.
- The risk should be assessed as if no control measures are currently in place
- The likelihood of the hazard occurring may relate to factors such as the operator's experience, equipment reliability or environmental conditions for example
- Risk matrix:

Risk matrix – use this to determine risk for each hazard i.e. 'how bad and how likely'	Likelihood of Harm				
	Very Unlikely (1)	Unlikely (2)	Fairly Likely (3)	Likely (4)	Very Likely (5)
Severity of Harm					
Negligible (1) e.g. small bruise	1	2	3	4	5
Slight (2) e.g. small cut, deep bruise	2	4	6	8	10
Moderate (3) e.g. deep cut, torn muscle	3	6	9	12	15
Severe (4) e.g. fracture, loss of consciousness	4	8	12	16	20
Very Severe (5) e.g. death, permanent disability	5	10	15	20	25

4.3 Minimising the Risk/Control Measures:

- 4.3.1 It is possible to use the "ERIC PD" acronym here, representing the 'Hierarchy of Hazard Control':
- E – Eliminate** – Redesign the task or use of specific substances to remove the hazard. E.g. Avoid working at height
 - R – Replace** – Change the material or process to reduce the hazard. E.g. Use a mobile elevating work platform (MEWP) instead of a ladder for working at height
 - I – Isolate** – Use engineering controls to prevent the hazard. E.g. Install local exhaust ventilation (LEV) or machinery guarding to separate the hazard from the user
 - C – Controls** – Use administrative controls to reduce the hazard. E.g. Reduce the exposure time and training provision
 - P – PPE** – Only after all the above have been tried and found ineffective to control risks SFARP to be ALARP, PPE must be provided. E.g. Face masks and harnesses
 - D – Discipline** – This is not a final measure; it should be implemented at all stages of the control hierarchy and includes effective communication and assurance that all procedures outlined in Section 4.3 are adhered to.

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- 4.3.2 The current and planned control measures to reduce the risk of any of the identified hazards in Section 4.1.2 from occurring
- 4.3.3 Communicate the results of the risk assessment to all staff involved in the process/task

4.4 Evaluating the Residual Risk:

- 4.4.1 This can be evaluated using the risk matrix in Section 4.2.2.d
- 4.4.2 This should be calculated as in Section 4.2, however this time, taking into account the risk minimisation strategies put into place in Section 4.3
- 4.4.3 During this process, the current arrangements, safe systems of work, approved procedures and instructions should be consulted
- 4.4.4 Decide whether the existing arrangements, procedures and rules (including those developed in Section 4.3) are appropriate in the context of the nature and degree of the hazards and risks
- 4.4.5 If the assessment concludes that the existing or proposed safety precautions are inadequate or the residual risk is deemed to be too high to allow commencement of the task or activity, additional or alternative precautions would need to be developed. As this would require a change in process, the original risk assessment would need to be reviewed, based upon these changes.


5.0 Reviewing Risk Assessments:

- 5.1 A risk assessment should be reviewed regularly. They should be reviewed at least annually, or following an incident or following the introduction of new equipment, substances and/or procedures that introduce new or different hazards into the workplace.
- 5.2 Changes may include those to law, personnel, working environment
- 5.3 It may require to be reviewed if there has been an incident or near miss related to such an activity or if new equipment has been introduced, for example.
- 5.4 The Aberystwyth University Health and Safety Policy states that risk assessments will need to be reviewed at a regular interval to determine whether it is still accurate.
- 5.5 The current and next review date and assessor should be noted on the risk assessment form.

6.0 Approval of Risk Assessments:

- 6.1 It may be beneficial to produce the risk assessment with the user(s) as to provide ownership to the assessment, along with being an effective way of communicating the results
- 6.2 The assessments must be signed and dated as an indication of an approved document

7.0 Record Keeping:

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7.1 Current risk assessments must be stored in appropriate location on a local system so that all necessary people can access it at ease

7.2 Previous risk assessment versions must be archived on a local system

8.0 Further Information and References:


8.1 Health and Safety Executive (HSE) Homepage: www.hse.gov.uk

8.2 Health and Safety Executive (HSE) Risk Assessment: A brief guide to controlling risks in the workplace: www.hse.gov.uk/pubns/indg163.pdf

8.3 The Management of Health and Safety at Work (Amendment) Regulations 2006; www.legislation.gov.uk/uksi/2006/438/note/made

8.4 The Management of Health and Safety at Work Regulations 1999: www.legislation.gov.uk/uksi/1999/3242/regulation/3/made

8.5 Aberystwyth University Risk Assessment Webpage: www.aber.ac.uk/en/hse/proc-prac/risk-assessment/

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Signed		Date		Date for review of risk assessment				